



USAID
FROM THE AMERICAN PEOPLE



Human Resources Management Training Curriculum

Technical Assistance to the New Partners Initiative (TA-NPI)

New Partners Initiative Technical Assistance Project (NuPITA)

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I. Introduction

Preface

The PEPFAR-supported Technical Assistance to the New Partners Initiative (TA-NPI) and the New Partners Initiative for Technical Assistance (NuPITA) Projects, implemented by John Snow, Inc., with support from its subcontractor Initiatives Inc., provided technical and organizational capacity assistance to strengthen 27 NPI partners.

Funding for TA-NPI came through the US Centers for Disease Control and Prevention (CDC) by the Department of Health and Human Services (HHS), while NuPITA was funded by USAID. The projects' goal was to work with the NPI prime partners and their sub-partners in Africa and Haiti to enable them to:

- Manage USG grants and comply with USG regulations;
- Develop into stronger entities positioned to source new funding; and
- Implement quality HIV programs.

The projects used a number of strategies to build the capacity of these faith-based, community-based and international non-governmental organizations, including facilitating organizational capacity assessments to identify management system strengths and gaps, and technical capacity assessments to ensure service delivery and infrastructure standards were in place and monitored; group and organization-specific trainings; short-term technical assistance and embedded long-term advisors; “state of the art” updates; strategic planning to strengthen long-term planning; and continual mentoring and coaching from the projects' teams of specialists.

TA-NPI documents are available at <http://www.jsi.com> and <http://www.initiativesinc.com>; NuPITA products can be accessed at <http://www.jsi.com> and <http://www.initiativesinc.com>.

TA- NPI Curricula

- Governance
- Resource Mobilization
- Strategic Planning
- Quality Improvement
- Referrals and Networking
- Information for Decision-Making

NuPITA Curricula

- Human Resource Management
- Senior Management
- Gender and Culture
- Resource Mobilization
- Supportive Supervision
- Performance Appraisal
- Team Building
- Workplanning
- Quality Improvement
- Monitoring and Evaluation

Overview

A. Purpose

To gain an understanding of the basic concepts and methods in human resources management (HRM) and how their application builds an organization's capacity overall.

B. Audience

Human resources managers, hiring managers, CEOs, or others who oversee human resources in small organizations.

C. Learning Objectives

By the end of the workshop, participants will:

1. Demonstrate knowledge of key HRM concepts and principles for planning, staff recruitment, orientation, and management
2. Understand how to strengthen HRM and support in their organizations
3. Know how to apply change management strategies when introducing new HRM methodologies
4. Have performance management strategies and know how to apply staff performance management systems
5. Know how to assess and improve staff motivation and engagement
6. Have an action plan detailing HRM practices and/or approaches based on the specific needs of the organization

D. Curriculum

This curriculum includes 10 sessions and is based on adult learning, participatory activities, and a pre-training survey to obtain feedback and tailor the workshop to meet participants' needs. A variety of methodologies is used—case studies, scenarios, games and role plays—to illustrate how an organization thinks through HRM. Participants work primarily in small groups of approximately six people to allow greater participation and feedback.

The *Detailed Session Guide* (Section II in this document) is a guide for facilitators to use to conduct this training. For each session of the workshop, the guide includes the session title, objectives, content overview with suggested format and timing for each activity within a session, as well as any advance preparation and supplies needed to carry out the session. The guide also includes notes and specific instructions to guide facilitators to carry out all activities for each of the sessions. Throughout the guide there is reference to suggested PowerPoint slides to either introduce an exercise or explain a topic. Suggested slides, organized by session, are included in Appendix C.

E. Facilitators

It is suggested that a workshop for 30 participants be conducted by at least five facilitators. Facilitators should have experience with HRM in small organizations and should familiarize themselves with the training materials in advance.

F. Agenda

A suggested agenda for a three-day workshop is in Appendix A; however, organizers may want to consider expanding it to four days by adding time to the sessions. The proposed agenda may also be revised as needed based on discussions with participating organizations. The curriculum is formatted in such a way so that sessions can be chosen that applicable to the organizations.

G. Materials

Participants should receive a packet containing materials for their use during and post training. The handouts in Appendix B may be distributed at the appropriate session or at the beginning of the workshop.

H. Preparation

The pre-training survey should be conducted to gauge participants' interests and needs; the activities in this workshop should be based on the results of the survey. Workshop planners and facilitators should review the Materials section in each session to determine all the materials they will need. Sample PowerPoint slides are in Appendix C. They contain a great deal of important information and complement the use of this guide; once facilitators are familiar with the content, the slides can be edited and shortened to improve presentation.

II. Session Guide

Session I: Introduction

Objectives

- Provide an overview of the three-day workshop
- Introduce participants
- Define the overall workshop objectives
- Establish norms and expectations

Overview

Topics	Format	Timing
Workshop overview	Plenary presentation	15 min
Brief introductions	Plenary presentation	15 min
Overall objectives	Plenary presentation	15 min
Norms and expectations	Plenary presentation	15 min
		Total: 1 hour

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides

Supplies

Three flipcharts and markers
HRM Best Practices checklist (Appendix B, I-1)
LCD projector
Slides: I.1–I.8

Facilitators' Notes for Session I

The goals of the workshop are for each organization to leave with an appropriate human resources management (HRM) action plan and for each participant to understand the basic concepts and methods in HRM. The training methodology uses presentations, scenarios, and participatory exercises that allow peer and facilitator feedback. Facilitators are expected to attend the entire workshop, to present the sessions and to provide guidance for the participants.

1. Workshop Overview

A suggested three-day schedule for the workshop is presented in Appendix A and in Slides 1.2–1.4 (Appendix C). Adapt the schedule as needed and provide this outline to participants.

2. Brief Introductions

Go around the room and ask participants to provide brief introductions about themselves and their organizations. Participants can respond to the three questions presented on Slide 1.5.

1. What does your organization do?
2. How many staff does your organization employ?
3. What are your expectations for this workshop?

3. Overall Objectives

The overall objectives are shown in Slide 1.6. Explain that by the end of the workshop, participants should be able to:

1. Demonstrate knowledge of HR concepts and principles for planning, staff recruitment, orientation and management
2. Strengthen HRM and support processes currently used in their organizations
3. Apply change management strategies when introducing new HR methodologies
4. Define performance management strategies and know how to apply staff performance management systems in their organizations
5. Assess and improve staff motivation and engagement
6. Present an action plan detailing HRM practices and/or approaches they will put into action in their organizations based on their specific needs.

Distribute the Best Practices Checklist (Appendix B, 1-1) to participants. Explain that this checklist can be used as a resource throughout the workshop and for developing action plans. Encourage participants to thoughtfully complete the checklist and explain that it will help them to identify strengths within their organizations and opportunities for improvement. Also distribute Handout 7.1, the Employee Engagement Questionnaire. Explain that it will be used on Day 2, and you need to tally the results in advance.

4. Norms and Expectations

Lead a quick exercise with participants to make sure that there is agreement on some basic ground rules to help the workshop go smoothly.

(Suggested) Instructions for Expectations

1. Post the following (pre-written) information on three flip charts.
2. Ask participants if they agree with these expectations and allow them to add theirs. Record their additions on the flip charts.

Suggested Expectations for Flipcharts

We expect facilitators to:

- Start and end on time
- Engage participants in a variety of different participatory activities and provide time to interact with colleagues and reflect on ways to improve current programming
- Use the daily feedback to make necessary adjustments
- (Space for their additions....)

We expect participants to:

- Come on time
- Participate actively and ask questions
- Do homework
- (Space for their additions....)

We all hope to:

- Interact and learn from one another
- Have some fun!
- (Space for their additions....)

Session 2: Human Resources Management and Organizational Strategy

Objectives

- Explore the relationship between HRM and an organization’s strategy and performance
- List key HRM elements
- Develop an action plan for improving HRM and developing an organization’s HR strategy

Overview

Topics	Format	Timing
Define HRM	Plenary presentation	5 min
HRM and your organization	Small group exercise	15 min
HRM and strategic planning	Plenary presentation	10 min
HR strategy scenarios	Small group exercise	20 min
Action planning	Individual exercise	10 min
		Total: 1 hour

Materials

Prepare in advance:

- Copies of handouts for each participant
- PowerPoint slides

Supplies:

- LCD projector
- Handouts: 2-1 to 2-6 (Appendix B)
- Slides: 2.1–2.22 (Appendix C)

Facilitators’ Notes for Session 2

I. Define Human Resources Management

Facilitators should use their background knowledge and the information provided in Slides 2.2–2.9 to define HRM.

Goal: This session is designed to highlight the importance of HRM to the success of an organization as a whole and to outline important practices in integrating HRM and strategic planning.

2. Human Resources Management and Your Organization

Participants work in their small groups with a facilitator at each table for 10 minutes. Explain to participants that they are to review the OCA outline in Handout 2-1 and think about how human resources management is linked with other aspects of an organization's performance. They should look at the sub-headings under governance, administration, financial management, organizational management, program management, and project performance management.

Following the group work, participants should debrief as a group for five minutes and discuss their responses on each aspect of an organization's performance. Possible responses can be found in Handout 2-2.

3. HRM and Strategic Planning

Review the material on Slides 2.11–2.15 to explain strategic planning and the position of HR in it.

4. HR Strategy Scenarios

Participants work in the same small groups with their facilitators. Each group reviews the three scenarios presented in Handout 2-3 and Slides 2.17–2.19 and tries to answer the following questions:

1. What HR questions might you ask in the following scenario if this were part of your organization's strategic plan?
2. What strategies could you develop to help the organization attain its goal?

Facilitation guidance and possible responses are provided in Appendix B, Handout 2-4.

5. Action Planning

At the conclusion of each session, participants should have time to work on their action plans. Present Slides 2.20–2.22 to guide a discussion of action planning and to present a sample action plan (Handout 2-5). A blank action plan is provided in Handout 2-6.

The action plans are designed to help participants and organizations to not only define an action, but also to define the steps required to implement it and how the change will be communicated and managed within the organization.

The action plan is broken down into 10 sections:

- Current Status
- Desired Status (goal)
- Proposed Change
- Change Leader
- Action Steps for Implementing Change
- Communication Strategy
- Team Involvement
- Monitoring Strategy
- Performance Indicator
- Timeline

Participants need to think through their organization's systems and develop actions to help them. In this first case, it might be strategic planning by making sure they include HR managers and develop HR plans that go along with their strategic or operational plans.

Some participants may feel that their systems are solid. In this case, they would not necessarily develop an action. If participants are comfortable with their existing systems, they should either:

- Work on reviewing and revising actions from previous sessions or topics
- Help others, if they are willing, to better define what needs to be done to develop a system
- Work with your group using the sample in Slide 2.22 (Handout 2-5) to help them not only to define actions but to also define the steps that would be needed to implement them.

Session 3: Change Management

Objectives

- Describe change management approaches
- Identify the steps in fostering acceptance of change
- Introduce ways to monitor the effects of change
- Outline strategies for maintaining positive change

Overview

Topics	Format	Timing
Define change management	Plenary presentation	15 min
Exercise: Tracking staff movements	Small groups	25 min
Approaches to change management	Plenary presentation	10 min
Key steps in change management	Plenary presentation	30 min
Scenarios	Small group exercise	30 min
Action planning	Plenary presentation	10 min
		Total: 2 hours

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides

Supplies:

- LCD projector
- Handouts: 3-1 and 3-2 (Appendix B)
- Slides: 3.1–3.35 (Appendix C)

Facilitators' Notes for Session 3

I. Define Change Management

Facilitators should use their background knowledge and the information provided in Slides 3.2–3.6 to lead a discussion about change and change management.

Goal: The focus of this session is to help participants to better understand key elements of change management and to apply these elements to the introduction of new HRM practices in their organizations. The action plan is further developed in this

session; it is designed to assist in applying change management approaches to proposed HRM actions.

2. Exercise: Tracking Staff Movements

The exercise laid out in Slide 3.7 is to be discussed in small groups. Decide which groups will be answering the first question and which the second question. It is not necessary to break the participants into two groups for this exercise.

Encourage someone from the group to read the scenario aloud then focus the group on the question. One person should act as secretary. Help manage the discussion. If necessary, ask participants questions to stimulate thinking, but don't provide answers. Following 10 minutes of work in the small groups, have participants report the results of their discussion in plenary. Possible responses are provided in Appendix B, Handout 3-1.

3. Approaches to Change Management

Review the material on Slide 3.13 to define approaches to change. Refer to the change management wheel in Handout 3-2 to guide your presentation.

4. Key Steps to Change Management

The key steps in change management are presented on Slides 3.15–3.30. Use this information and your background knowledge to present each one. Refer to the quotes and cartoons on the slides (if available) to encourage engagement and to reinforce the material.

5. Scenarios

There are four scenarios in this exercise outlined on Slide 3.32. Assign two scenarios to each group and ask them to develop a plan that reflects the seven steps to change management. The steps, which are summarized on Slide 3.33, are the following.

- Develop the rationale.
- Establish a vision.
- Lead change.
- Communicate change.
- Create a plan.
- Monitor the plan.
- Sustain momentum.

6. Action Planning

Ask participants to revisit the action plan in Handout 2-5, from Session 2. Present Slide 3.35 and ask participants to think through how their organization manages change, keeping in mind what they have learned in this session. Ask participants to develop an action plan after thinking about what they could do to improve their change management systems.

Session 4: Policy and Planning

Objectives

- Orient participants to the importance of HR planning
- Discuss policy development and implementation in relation to HR planning
- Provide tools and approaches for assessing staffing needs
- Provide tools and examples for developing personnel policies
- Develop action plans to improve HR planning and policy development and/or implementation

Overview

Topics	Format	Timing
Define HR planning and policy	Plenary presentation	10 min
Staffing plans and assessments	Plenary presentation	20 min
Brainstorming staffing analysis	Plenary exercise	5 min
Staffing assessment case study	Small group exercise	60 min
Personnel policies	Plenary presentation	10 min
Policy feud	Small group exercise	15 min
Policy implementation	Plenary presentation	10 min
Policy case study	Small group exercise	25 min
Action planning	Individual exercise	10 min
		Total: 2 hours, 45 min

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides
- Have a small prize (chocolate) for the policy feud

Supplies:

- LCD projector
- Handouts: 4-1 to 4-4
- Slides: 4.1–4.32
- Flip charts and markers
- Prize for Policy Feud exercise

Facilitators' Notes for Session 4

1. Define HR Planning and Policy

Facilitators should use their background knowledge and the information provided in Slides 4.2 and 4.3 to lead an introductory discussion about HR planning and policy.

Goal: This session is designed to cover the basics of HR planning methods in terms of how to calculate how many staff you need and what skills they will need to meet the organization's or program's objectives. It also reviews key elements of policies and policy development.

2. Staffing Plans and Assessments

Staffing plans and needs assessments are presented in Slides 4.4–4.14. Facilitators should review this information and use it along with their background knowledge to lead the discussion.

3. Brainstorming Staffing Analysis

Complete this exercise in plenary. Present the scenario on Slide 4.15.

Some possible answers are:

- What is the timeframe?
- How many people do we want to reach?
- What services will we be providing?
- What tasks do these services include?
- How long does it take to do these tasks?
- What skills will be needed to provide these services?
- Do we already have people with these skills?
- What is the geographic scope of the project?

4. Staffing Assessment Case Study

Allow 45 minutes to work in small groups, then 15 minutes to debrief in plenary. Facilitator guidance for the case study can be found in Handout 4-1.

Part 1: Start this session with brainstorming.

1. Ask participants to work with their partners to choose a position in their organization that is important for their programs. It could be the program manager, M&E officer, OVC community worker, volunteer, or another one. It should be a position that they have knowledge about.
2. Tell them to list the tasks that the person in that position needs to undertake to do the job.
3. Give participants a few minutes to list tasks.
4. Ask participants to talk about the position, its title, and the tasks that need to be carried out.
5. Did the tasks include any managerial or supervisory responsibilities?
6. Are reporting and recording responsibilities included? Are service delivery responsibilities recorded and are they specific enough? What about training or information they will give or provide?

Part 2: Then direct participants to the case study in Handout 4-2 and the worksheets in Handout 4-3. Note that we can use this to see how we might take this list of tasks and use it to estimate how much time would be required and how many

people might be needed for the job.

There are basically three steps to estimating staffing needs:

1. Defining the specific activities that need to be carried out
2. Deciding who should carry out those activities
3. Estimating how much time will be needed to carry out the activities

Talk these through with participants. Be clear, and don't add too much. Keep it simple.

5. Personnel Policies

Facilitators should use the information about personnel policies in Slides 4.17–4.19 and their background knowledge to discuss the topic. A sample employee manual is provided in Handout 4-4.

6. Policy Feud

The policy feud is presented on Slide 4.20.

This is really meant to be an enjoyable exercise that gets everyone up and moving, gets a little energy flowing and gets people thinking and laughing a bit.

Break participants into two groups.

Each group has to list policies that should be included in each of the six general policies listed on Slide 4.19. In the “Other” category, participants can list all of the policies that they can come up with.

Each policy that matches a policy on our list gets two points. Each additional valid policy that is not a repeat in different terms gets an additional two points.

Teams get 10 minutes. It would be wise if they divided into smaller groups and used flip charts.

The team with the most points wins. Possible responses are listed in Slides 4.22–4.27. You can offer a small prize (such as chocolate) to the winning team.

7. Policy Implementation

Facilitators should use the information about policy implementation in Slides 4.28–4.30 and their background knowledge to present the information on effective policy development, review, and implementation.

8. Policy Case Study

The policy case study is presented on Slide 4.31. Allow 15 minutes for the participants to work in groups and 10 minutes to debrief in plenary.

Ask each group to work on this at their tables. Have them read the case study carefully (keep the slide up) and then follow the guidance.

9. Action Planning

When giving staff time to work on their action plans for this session have them think through how their organization plans and how they might strengthen it by making it more strategic and detailed and ensuring a solid rationale and thought behind it. Participants should again refer to the action plan template that they received in Session 2. Ask them to think through their personnel policy documents, how complete they are, and what is needed.

Session 5: Recruiting and Retaining Staff

Objectives

- Review the structure and content of effective job descriptions, recruiting and hiring procedures, contracts, and methods for ensuring transparency
- Review methods for understanding local legal environments, obtaining advice from legal counsel, and protecting the organization from legal disputes
- Review approaches for monitoring and improving staff retention

Overview

Topics	Format	Timing
Define recruitment	Plenary presentation	10 min
Job design and descriptions	Plenary presentation	20 min
Advertising and selecting	Plenary presentation	15 min
Recruiting manuals	Plenary presentation	10 min
Recruiting exercise	Small group exercise	30 min
Ensuring legal compliance	Plenary presentation	10 min
Retaining staff	Plenary presentation	15 min
Brainstorming retention	Group or plenary	15 min
Action planning	Individual exercise	10 min
		Total: 2 hours, 15 min

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides

Supplies:

LCD projector

Handouts: 5-1 to 5-5

Slides: 5.1–5.30

Facilitators' Notes for Session 5

1. Define Recruitment

Facilitators should use their background knowledge and the information provided in Slides 5.2 and 5.3 to lead an introductory discussion about recruitment.

Goal: Covering the basics of job design, developing job descriptions, advertisements, and interviewing and hiring staff, this session begins with developing recruiting guidelines and standard recruiting methods that ensure transparency and fairness. Retention is highlighted in the latter half of the session by reviewing what factors keep staff at organizations and how organizations can monitor and improve retention.

2. Job Design and Description

Slides 5.4–5.8 present information about job descriptions and design, including the key elements and their importance. Facilitators should use the content provided in the slides and their background knowledge to present the material. Handout 5-1 is a job design checklist, and 5-2 is a sample job description; both will be useful references for participants.

3. Advertising and Selecting

The steps for advertising a position, interviewing and selecting appropriate candidates, and making a hiring decision are included in Slides 5.9–5.19. Review and present this information to participants. Handout 5-3 is a sample job advertisement and Handout 5-4 provides suggestions for interviewing that can be distributed as resources for participants.

4. Recruiting Manuals

Many organizations find it useful to have written recruiting procedures. Recruiting manuals are discussed in Slides 5.20 and 5.21.

5. Recruiting Exercise

This exercise is meant to help organizations start to develop more comprehensive recruiting guidelines. They should review the NWF recruiting strategy plan in Handout 5-5 and reflect on their own recruiting. They should think about what they can add to make it more robust, fair, transparent, regular and reliable. Spend 20 minutes working in small groups and 10 minutes debriefing in plenary.

Then they should start to outline what changes they would make to their own policies and procedures to make them more comprehensive, better documented, and effectively implemented (followed):

Review NWF's recruiting strategy plan and reflect on how it compares with your own.

Does your organization have documented guidelines and a clear process for recruiting?

Take some time to start to outline what changes you might make to your own procedures to make them more comprehensive and to make sure they are documented and followed.

For the debriefing, ask participants to share what changes they identified and how they think the change might benefit their organization.

6. Ensuring Legal Compliance

Ensuring legal compliance is summarized in Slides 5.23 and 5.24. Facilitators should use this information and their background knowledge and experience to present the topic.

7. Retaining Staff

Staff retention is outlined in Slides 5.25–5.29. Using this information and background knowledge, facilitators should introduce the topic of staff retention. A summary of retention and turnover is provided in Handout 5-6. This is a resource for participants and can be referenced by the facilitator during the presentation on these topics.

8. Brainstorming Retention

Consider doing this in plenary if time is short, but if time is available, do it in groups. Simply ask the participants to respond to the questions presented in Slide 5.27. What is important here is that participants share strategies for retaining staff and learn from each other.

What does your organization do to retain staff?

Does it work?

What is the average number of years employees work at your organization?

Do you ever assess employee engagement?

How and how often does your organization do this?

9. Action Planning

Ask participants to think about how their organizations manage recruiting and retention and how they might strengthen these procedures. Participants can outline strategies for improvement in their action plans.

Session 6: Establishing Salary Structures

Objectives

- Review the key steps in determining salary scales
- Practice developing a salary scale
- Develop an action plan for improving salary structures

Overview

Topics	Format	Timing
Salary structure	Plenary presentation	50 min
Salary structure exercise	Small groups	1 hour
Action planning	Individual exercise	10 min
		Total: 2 hours

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides

Supplies:

- LCD projector
- Handouts: 6-1 to 6-3
- Slides: 6.1–6.19
- Calculators at each table

Facilitators' Notes for Session 6

I. Salary Structure

Goal: This session is designed to lay out one practical approach to developing a salary structure. It guides organizations through a case study in which they have to calculate grades and ranges.

Facilitators should introduce the topic of salary structure by highlighting the objectives in Slide 6.2 and posing the questions on Slide 6.3 to the entire group.

After this introduction, facilitators should use the information about salary structure, including the examples that are provided in Slides 6.4–6.17. The topics included in this presentation are:

- Definitions of salary grade and range
- Strategies for managing salary grades and ranges
- Reasons for establishing salary scales
- Steps in developing salary scales including collecting and analyzing data
- Salary policies

2. Salary Structure Exercise

Facilitator’s guidance for the exercise is found in Handout 6-1. The salary structure exercise is introduced in Slide 6.18 and Handout 6-2. Tell participants to work in their small groups and to follow the case study to develop the salary structure. Make sure that calculators and the sample salary structure in Handout 6-3 are available at each table. Allow 45 minutes for group work and 15 minutes to debrief in plenary.

3. Action Planning

Ask participants to think through their organization’s salary structure, keeping in mind what they have learned in this session. What could they do to improve the organization’s systems and policies? Participants can outline strategies for improvement in their action plans.

Session 7: Staff Engagement and Team Building

Objectives

- Review the relationship between employee engagement and the organization's success
- Review elements that encourage engagement of staff
- Present methods for assessing employee engagement
- Discuss strategies for improving engagement
- Create an understanding of conflict and of sources and elements of conflict
- Discuss and apply approaches to managing or resolving tension and conflict
- Identify ways to prevent and manage stress among employees
- Review team building and discuss its importance and methods
- Develop an action plan to improve employee engagement and teamwork

Overview

Topics	Format	Timing
Introduction	Plenary presentation	5 min
Engagement	Plenary presentation	10 min
Engagement survey	Plenary presentation	10 min
Are your staff engaged?	Small group exercise	5 min
Brainstorming what engages	Small group exercise	15 min
Engagement scenario	Small group exercise	10 min
Team activity	Small group exercise	15 min
Teams and developing teams	Plenary presentation	10 min
Team-building scenarios	Small group exercise	15 min
Conflict management	Plenary presentation	10 min
Conflict case study	Plenary exercise	10 min
Stress management	Plenary presentation	10 min
Action planning	Individual exercise and consultation	30 min
		Total: 2 hours, 35 min

Materials

Prepare in advance:

- Copies of the handouts for each participant
- PowerPoint slides
- Flipcharts for group exercise

Supplies:

- LCD projector
 - Handouts: 7-1 to 7-5
 - Slides: 7.1–7.60
 - Flipcharts and markers
 - Colored stickers
 - Tower-building materials
-

Facilitators' Notes for Session 7

Prior to this session, ideally on the first day of training, facilitators should distribute Handout 7-1, the Employee Engagement Questionnaire. Participants should fill it out anonymously and return it before this session begins. Be sure to allow yourself enough time to review and compile responses before presenting them to participants as part of this session.

1. Introduction

Facilitators should introduce the session by outlining the objectives listed on Slide 7.3.

Goal: Engaged staff are essential to an organization's performance, effective teamwork and employee retention. This session introduces the concept and key elements of employee engagement and provides resources for conducting employee engagement surveys. This session also covers team building, including both why teams are important and why team building is essential for successful organizations and for managing conflict and stress.

2. Engagement

Using background knowledge and the information presented in Slides 7.4–7.10, facilitators should lead a presentation and discussion on engagement. This should include a definition of engagement, and explanations of why it is important and how to measure it.

3. Engagement Survey

Facilitators should share the results of the Employee Engagement Questionnaire (Handout 7-1) that participants completed. Slides 7.8–7.10 list each of the questions.

4. Is Your Staff Engaged?

For this exercise, shown in Slide 7.11, facilitators should prepare one flip chart page with five columns for each group: very low, low, neutral, strong, and very strong. Each group should have a page of colored stickers to rate the level of engagement of the staff in their organizations overall.

In plenary, ask some participants to share why they think engagement is at that level. This should take about five minutes.

5. Brainstorming What Engages

This brainstorming exercise is shown in Slide 7.12. Have participants discuss motivating factors in their groups using their flip charts and listing them from most to least. Also ask them to list what factors they think are most likely not to motivate staff.

In plenary, debrief by having one group share its list and then asking if other groups have anything different. Groups should work for eight minutes followed by a seven-minute debriefing in plenary.

After groups report out, present the information in Slides 7.14–7.19. Facilitators should use their background knowledge to complement the information in the presentation.

6. Engagement Scenario

This scenario is shown on Slide 7.20. All groups should read through the scenario and then discuss what they would do to address the issues. Have selected groups (or all if time allows) report out what they come up with. Plan on eight minutes for group work and seven minutes for reporting.

Some possible responses:

- Conduct an engagement survey to find out what the staff is feeling most dissatisfied with.

- Examine the leadership culture. Are managers setting a good example by being on time routinely and getting things in on time?

- Talk to staff about roles and responsibilities. Do they really know what they are supposed to do and when reports are due?

- Get staff involved in understanding the problem and coming up with a solution.

Present the information on Slides 7.22 and 7.23. This covers methods for assessing engagement and strategies for implementing change.

7. Team Activity

Slide 7.24 introduces the relationship between teamwork and engagement. Following this introduction, begin the team activity.

Provide each group with the materials to build a tower. Tell them their objective is to work in their teams to build the tallest tower using only the materials provided to them. They have 10 minutes.

In the debriefing, ask them how they worked together. How did they decide to build what they did? How did they communicate with one another? Were there any conflicts? Why? Allow five minutes for the discussion.

8. Teams and Developing Teams

Begin the discussion by asking participants why teams are important to their organizations. Relate their responses to the information provided in Slides 7.27–7.32. Using Handout 7-2 and their background knowledge, facilitators should present the characteristics of a strong team, when teams are useful, and the stages of team development.

9. Team Building Scenarios

Facilitators should introduce the topic of team building using the information on Slide 7.33 before proceeding to the team building scenarios.

Give each team two scenarios (in Handout 7-3) to work with. Each team takes one example of things gone wrong and one with a positive result. Scenarios 1 and 2 are things gone wrong and 3 and 4 are positive. Give the groups 10 minutes to respond to the scenarios and then five minutes to report out. Possible responses are provided in Handout 7-4.

10. Conflict Management

Information about conflict management is presented in Slides 7.38–7.48. Facilitators should use this information and their experience to present conflict management. The presentation should include a discussion of:

- Understanding conflict
- Causes of conflict
- Signs and symptoms of conflict
- Benefits and costs of conflict
- Conflict management styles
- Steps in conflict management

11. Conflict Case Study

The conflict case study is provided in Handout 7-5. Have participants work in small groups to review the scenario, answer the questions, and act out the conflict resolution strategy.

1. Identify the issues in this case scenario.
2. Identify the best approach for resolving this conflict and act it out.

12. Stress Management

Facilitators should use their background knowledge and the information in Slides 7.50–7.59 to lead a discussion about stress and stress management in the workplace. Encourage participants to share their personal experiences and strategies for dealing with stress. Topics covered on the Slides include:

- Defining stress
- Types of stress
- Levels of stress
- Signs of stress at work
- Causes of stress at work
- Effects of stress
- Managing stress
- Organizations and managers and stress

13. Action Planning

Ask participants to think through their organizations' motivation, engagement, teamwork and experiences with stress and conflict, keeping in mind what they have learned in this session. Participants can outline strategies for improving their systems in their action plans. Facilitators should plan extra time at the end of this day to provide individual consultations on the action plan.

Session 8: Timesheet Management

Objectives

- Review timesheets and timesheet contents
- Discuss methods for recording and accounting for time
- Discuss steps in reviewing timesheets
- Develop an action plan for improving timesheets and employee time management

Overview

Topics	Format	Timing
Introduction of timesheets	Plenary presentation	15 min
Timesheet compliance and recording	Plenary presentation	15 min
Timesheet exercise	Small groups	20 min
Timesheet review	Plenary discussion	10 min
Timesheet case study	Small group exercise	20 min
Action planning	Individual exercise	10 min
		Total: 1 hour, 30 min

Materials

Prepare in advance:

PowerPoint presentation

Copies of the handouts for each participant

Supplies:

LCD projector

Slides 8.1–8.18

Handouts: 8-1 to 8-5

Facilitators' Notes for Session 8

I. Introduction of Timesheets

Facilitators should explain the goal of this session and introduce the topic of timesheets using their

background knowledge and the information provided in the presentation.

Goal: The USG and other donors require organizations receiving funds to use timesheets, to have clear timesheet policies and to manage both for effective timekeeping and compliance with rules and regulations. This session presents the essentials of timesheet management and walks participants through timesheet completion and timesheet review.

Using the prompts in Slide 8.3, ask participants to share information about their timesheets, including information about their systems and any issues with them.

2. Timesheet Compliance and Recording

Information about timesheet compliance and contents and recording time is provided on Slides 8.4–8.12. Guide participants through a discussion of these topics, including an explanation of who should complete timesheets, different methods for recording time, and what processes organizations need to follow to remain compliant with donor timesheet requirements recognizing that these requirements may vary.

3. Timesheet Exercise

This activity should be conducted in small groups. Each group fills in the time according to the employee's time noted on the exercise sheet. Review as a group. Distribute Handout 8-1 (the exercise) and Handout 8-2 (sample timesheet). Allow 10 minutes to work in small groups and 10 minutes to debrief in plenary.

4. Timesheet Review

Using the information in Slides 8.14–8.16 and background knowledge, facilitators should go over submitting and reviewing timesheets and using the data from timesheets. A sample tracking timesheet is provided in Handout 8-3 and a sample payroll tracking sheet is provided in Handout 8-4.

5. Timesheet Case Study

The group should review the timesheet case study in Handout 8-5 together and should review Mary's timesheet. Allow 10 minutes to identify the problems and 10 minutes to review and discuss them in plenary.

Use the facilitator's completed timesheet to see how close they come to finding all the problems.

There should be seven problems:

1. Mary has included too many hours on the 4th.
2. Mary forgot to enter four hours of sick leave on the 5th.
3. Mary entered her sick leave for the 9th to 13th in the wrong row.
4. Mary has recorded only seven hours on the 17th. Usually she works an eight-hour day. What happened?
5. Mary has recorded too many hours on the 26th and too many hours in that week as a result.
6. The tasks that Mary is entering as general admin should actually be program costs in this case and should be entered in the appropriate row for the programs to which they pertain.

7. The total possible hours for full-time work this month (22 days) is 176; Mary has recorded 178! If the organization billed all these hours, they would be over billing.

6. Action Planning

Ask participants to think through the way their organizations keep time and manage timesheets, keeping in mind what they have learned today. What could they do to improve these systems? Participants should spend 10 minutes developing their action plans.

Session 9: Performance Management

Objectives

- Define staff performance management and the systems that contribute to performance management
- Discuss staff orientation
- Present methods for developing staff skills
- Orient participants to the structure and content of supervision plans
- Present tools and methods for staff performance appraisals
- Strengthen performance management

Overview

Topics	Format	Timing
Define performance management	Plenary presentation	10 min
Orientation checklist review	Small group exercise	15 min
Assessing staff skills	Plenary presentation and individual exercise	15 min
Supportive supervision	Plenary presentation	15 min
Supervision case study	Small group exercise	40 min
Staff performance appraisal	Plenary presentation	60 min
Performance meeting role play	Plenary activity	15 min
Action planning	Individual exercise	10 min
		Total: 3 hours

Materials

Prepare in advance:

- PowerPoint Slides
- Copies of the handouts for each participant

Supplies:

- LCD projector
- Slides 9.1–9.39
- Handouts: 9-1 to 9-8

1. Define Performance Management

Facilitators should explain the goal of this session and introduce the topic of performance management using their background knowledge and the information provided in Slides 9.2 and 9.3.

Goal: It is important for organizations to achieve their objectives; this cannot happen unless staff performs well. This session outlines key elements of performance management as a system with interlinking components from staff performance appraisals to orientation.

2. Orientation Checklist Review

Facilitators should define staff orientation using the information in Slides 9.5 and 9.6, making sure that participants understand each of the steps before distributing the checklist in Handout 9-1 and displaying Slide 9.7.

This activity should be conducted in small groups. Allow a total of 15 minutes. Each organization reviews the checklist and discusses it, then shares where their gaps may be or what they think they should include. Information on how others have handled different issues should be shared.

For the debriefing, ask if any organization has identified anything that they would add to their orientation. Find out if they received feedback and if not, ask others to contribute.

The plenary discussion for this session should be short; just a sample of ideas will be addressed.

3. Assessing Staff Skills

Begin the discussion by talking about the different methods of developing staff skills presented in Slides 9.8 and 9.9. Participants will then work in small groups on the exercise on Slide 9.10.

This activity should be conducted in small groups. Participants should list all the tasks they do in their jobs, the knowledge required to do them, and the skills required to do them effectively. They should also consider how they would impart these skills to a new employee.

In the groups, ask for volunteers to share some of the tasks, skills, and knowledge required and how they would transfer these skills. Also ask how they might map out skills for other categories of staff and how their organizations currently build skills. A sample worksheet for determining training needs is provided in Handout 9-2.

4. Supportive Supervision

Supportive supervision is defined and outlined on Slide 9.12. Facilitators should use this as the basis for the presentation and should use the information in Slides 9.13–9.20 to further the discussion. Topics covered in the presentation include:

- Supportive supervision plans
- Who supervises
- Role and responsibilities
- Frequency of supervision
- Supervisory tools
- Supervisory training
- Supervisory resources

Handout 9-3 provides guidance on developing a supervision plan.

D) 7. Performance Appraisal Meeting Role Play

The role play is provided in Handout 9-8. Ask for two volunteers: one to be the supervisor and one to be the supervisee. Let the role play go for about five minutes. Then thank the participants and begin the plenary debriefing which should last for about 10 minutes.

When debriefing in plenary, be careful to start by asking what the supervisor did well; then ask for other inputs. Participants put themselves on the line when doing a role play; acknowledge the risk they are taking. Ask the following questions.

How did the supervisor handle this situation?

What atmosphere did the supervisor create?

What was challenging about this case?

If you were the supervisor, what might you have done differently?

E) 8. Action Planning

Ask participants to think through their organization's performance management and performance appraisals keeping in mind what they have learned today. What could they do to improve these systems? Participants should spend 10 minutes developing their action plans.

Session 10: Action Plan Presentations

Objectives

- Discuss lessons learned and next steps
- Allow participants to share the action plans that they have been developing throughout the workshop

Overview

Topics	Format	Timing
Action plan presentations	Plenary presentation	2 hours
Wrap-up and evaluation	Plenary discussion	15 min
		Total: 2 hours, 15 min

Facilitators' Notes for Session 10

1. Action Plan Presentations

Have participants present the action plan for their organization that they have been developing throughout the workshop. Allow participants to share ideas and to provide feedback on one another's plans.

2. Wrap-up and Evaluation

III. Appendices

Appendix A: Sample Agenda

Day 1

Time	Session	Topic	Format
8:30 – 9:30	1	Welcome, Introductions, and Overview	Plenary Discussion
9:30 – 10:30	2	HRM and Organizational Strategy	Plenary Discussion
10:30 – 10:45		TEA BREAK	
10:45 – 11:30	3	HRM and Organizational Strategy Continued	Plenary Discussion
11:30 – 12:30	4	Managing Change	Plenary Discussion
12:30 – 1:30		LUNCH BREAK	
1:30 – 2:30	4	Managing Change Continued	Plenary Discussion
2:30 – 3:45	5	Planning and Policy	Plenary Presentation
3:45 – 4:00		TEA BREAK	
4:00 – 5:30	5	Planning and Policy Continued	Plenary Discussion

Day 2

Time	Session	Topic	Format
8:30 – 10:45	5	Recruiting and Retaining Staff	Plenary Discussion
10:45 – 11:00		TEA BREAK	
11:00 – 1:00	6	Establishing Salary Structures	Facilitated Discussion, Exercise
1:00 – 2:00		LUNCH BREAK	
2:00 – 3:45	7	Staff Engagement and Team Building	Facilitated Discussion, Exercise
3:45 – 4:00		TEA BREAK	
4:00 – 4:30	7	Staff Engagement and Team Building Continued	Plenary Discussion
4:30 – 5:00	7	Action Plan Development and Individual Assistance	Facilitated Discussion, Exercise

Day 3

Time	Session	Topic	Format
8:30 – 10:30	8	Timesheet Management	Plenary Discussion
10:30 – 10:45		TEA BREAK	
10:45 – 1:00	9	Performance Management	Facilitated Discussion, Exercise
1:00 – 2:00		LUNCH BREAK	
2:00 – 2:45	9	Performance Management Continued	Facilitated Discussion, Exercise
2:45 – 3:30	10	Action Plan Presentations	Plenary Discussion
3:30 – 3:45		TEA BREAK	
3:45 – 5:00	10	Action Plan Presentations Continued	Plenary Discussion
5:00 – 5:15	10	Wrap-up and Evaluation	Plenary Discussion

Appendix B: Handouts

Handout I-1: HRM Best Practices Checklist

Check off items that your organization already has in place. If you are uncertain, place a question mark in the space provided. If you know your organization does not have one of the items leave it blank. Use this checklist when you return to your organization's headquarters (or field office) to help guide your development of critical HR systems.

USG HRM Requirements:

1. Staff have appropriate timesheets and follow procedures for completing them. _____
2. Form I420 (biodata) is complete and on file for all staff employed by the project (USAID) _____
3. Staff salaries correspond to those recorded in the USAID biodata form (USAID). _____
4. All personnel are paid in local currency. _____
5. A personnel manual exists. _____
6. The personnel manual includes
a drug-free workplace policy. _____
equal opportunity employment policies (US organizations). _____
work schedule policies (hours, holidays, vacation, etc. for compliance). _____

HRM Best Practices

7. The organization has a documented organizational structure. _____
8. The organization has personnel policies and procedures that include
hiring. _____
termination. _____
compensation (salary and benefits). _____
work schedule. _____
performance appraisals. _____
equal opportunity employment and/or nondiscrimination. _____
security/emergencies. _____
confidentiality and use of personnel data. _____
9. Staff members have up to date job descriptions. _____
10. The organization uses a documented, rational system such as salary grades and ranges to determine salaries and pay increases. _____
11. The organization reviews salary ranges on a regular basis. _____
12. The organization has a strategy for staff retention. _____
13. The organization has a documented performance appraisal process. _____
14. The organization regularly conducts performance appraisals of all staff. _____
15. The organization assesses employee engagement and strives to improve engagement. _____
16. The organization does HRM planning in line with its strategic and operational plans. _____
17. The organization assesses skills and supports the professional development of staff. _____

Handout 2-1: OCA Outline

Section	Subsection	Score
		General <input type="checkbox"/> or USG <input type="checkbox"/>
Governance	Vision/Mission	<input type="checkbox"/>
	Organizational Structure	<input type="checkbox"/>
	Board Composition and Responsibility	<input type="checkbox"/>
	Legal Status	<input type="checkbox"/>
	Succession Planning	<input type="checkbox"/>
Administration	Operational Policies, Procedures and Systems	<input type="checkbox"/>
	Travel Policies and Procedures	<input type="checkbox"/>
	Procurement	<input type="checkbox"/>
	Fixed Assets Control	<input type="checkbox"/>
	Branding/Marking	<input type="checkbox"/>
Human Resources Management	Job Descriptions	<input type="checkbox"/>
	Recruitment and Retention	<input type="checkbox"/>
	Staffing Levels	<input type="checkbox"/>
	Personnel Policies	<input type="checkbox"/>
	Staff Time Management	<input type="checkbox"/>
	Staff Professional and Salary History Documentation	<input type="checkbox"/>
	Staff Salaries and Benefits Policy	<input type="checkbox"/>
	Staff Performance Management	<input type="checkbox"/>
	Volunteers/Interns	<input type="checkbox"/>
Financial Management	Financial Systems	<input type="checkbox"/>
	Financial Controls	<input type="checkbox"/>
	Financial Documentation	<input type="checkbox"/>
	Audits	<input type="checkbox"/>
	Financial Reporting	<input type="checkbox"/>
	Cost Share	<input type="checkbox"/>
Organizational Management	Strategic Planning	<input type="checkbox"/>
	Workplan Development	<input type="checkbox"/>
	Change Management	<input type="checkbox"/>
	Knowledge Management	<input type="checkbox"/>
	Stakeholder Involvement	<input type="checkbox"/>
	New Opportunity Development	<input type="checkbox"/>
	Communication	<input type="checkbox"/>
	Decision Making	<input type="checkbox"/>
Program Management	Donor Compliance	<input type="checkbox"/>
	Sub-grant Management	<input type="checkbox"/>
	Technical Reporting	<input type="checkbox"/>
	Referral	<input type="checkbox"/>
	Community Involvement	<input type="checkbox"/>
	Culture and Gender	<input type="checkbox"/>
Project Performance Management	NPI Project Implementation Status	<input type="checkbox"/>
	Field Oversight	<input type="checkbox"/>
	Standards	<input type="checkbox"/>
	Supervision	<input type="checkbox"/>
	Monitoring and Evaluation	<input type="checkbox"/>
	Quality Assurance	<input type="checkbox"/>

Handout 2-2: OCA Discussion Responses

Section	Sub-section	Possible responses
Governance	Vision/Mission	Staff should be involved in developing the vision and mission, and they need to know them well and internalize them to help build their commitment and dedication to their work and to the organization.
	Organization's Structure	Reflects relationship of departments and lines of authority: staff need to understand the structure, where they fit and how to relate to it.
	Board Composition and Responsibility	Boards should review personnel policies and be involved in ensuring that the right numbers of staff with the right skills and knowledge are in place to help the organization achieve its strategic objectives.
	Legal Status	Legal status also includes complying with labor laws. The organization must know the local laws of the countries in which they operate and must comply with them.
	Succession Planning	Relates to understanding how leadership will change and how a smooth transition in leadership is critical to maintaining staff morale
Administration	Operational Policies, Procedures, and Systems	Staff need to understand these and how to apply them.
	Travel Policies and Procedures	Staff need to know what these are and what they need to do to follow them.
	Procurement	Staff need to know what can be purchased and what the procedures are for purchasing equipment.
	Fixed Assets Control	Staff need to understand their responsibilities in relation to office equipment and other assets.
	Branding/Marking	Staff need to know who is responsible for managing branding and marking and what the organization's policies are.
Financial Management	Financial Systems	This would include salary and payroll; staff need to know who is responsible and how this works.
	Financial Controls	Clear lines of signatory authority need to be determined; this should be specified in job descriptions. Relevant staff must understand their roles and responsibilities.
	Financial Documentation	Staff need to know responsibilities in terms of the documentation they need to keep.
	Audits	It is important for staff to follow policies and procedures for timekeeping and travel so the organization does not encounter problems in audits.
	Financial Reporting	Selected staff need appropriate skills to complete financial reports.
	Cost Share	Staff whose time is included as cost share need to complete timesheets.
Organizational Management	Strategic Planning	Strategic plans have implications for HR needs; HR plans should be developed to reflect strategic, operational and program planning.
	Workplan Development	Workplans need to include clear guidance on who is responsible for carrying out activities and should be realistic, taking into account existing human resources in relation to what needs to be done. Sometimes HR activities or plans are needed to help realize workplans, such as how many counselors should be hired in the period to reach targets.

Section	Sub-section	Possible responses
Section	Sub-section	Possible responses
	Change Management	Personnel are key to change; no change can happen unless staff are willing to make it happen.
	Knowledge Management	Knowledge sharing, in this case best practices, helps build staff knowledge and skills.
	Stakeholder Involvement	Staff needs good communication skills to effectively involve stakeholders.
	New Opportunity Development	New opportunities come with new staffing needs. Proposals need to take into consideration staffing and how objectives will be achieved, what skills and knowledge will be needed, etc.
	Communication	Good communication helps staff know what to do and what their responsibilities are; it strengthens team work and improves staff morale.
	Decision-making	When staff are involved in decision-making they become more motivated and more dedicated.
Program Management	Donor Compliance	Staff needs to understand what donors require and why organizations need to make changes for donors. If they don't, they are unlikely to carry out procedures required by donors.
	Sub-grant Management	Sub-grantees need the right staff to implement agreed activities and the HR policies and procedures required to meet donor conditions and conditions of sub-grants.
	Technical Reporting	Staff with good writing skills and the technical know-how to write good reports are needed.
	Referral	Staff need to understand referral systems and how to make them work effectively (i.e., technical knowledge).
	Community Involvement	Staff with the right language skills and understanding of communities and how to integrate communities into programs are needed to make community involvement truly effective.
	Culture and Gender	Organizations need to be culture and gender sensitive and equitable in hiring and management practices (are women paid less for the same work?).
Project Performance Management	NPI Project Implementation Status	The appropriate staff with the right skills need to be hired and in place to implement the program in such a way that the organization provides high quality services and can reach its targets.
	Field Oversight	Field oversight needs to include managing staff and ensuring they have the skills and knowledge needed to manage and implement programs effectively.
	Standards	Staff need to understand performance standards and have the skills to meet them.
	Supervision	Supervision plans and trained supervisors are needed to make supervision effective. Supervision helps staff perform better and get the support they need.
	Monitoring and Evaluation	Staff need to understand what they are to record and how to do it well.
	Quality Assurance	Teamwork is key to quality assurance. Staff need to understand standards and have the skills to work together to identify and solve problems and monitor outcomes.

Handout 2-3: HR Strategy Scenarios

1. What HR questions might you ask in the following scenario if this were part of your organization's strategic plan?

2. What strategies could you develop to help the organization attain its goal?

- Scenario 1: The New World Foundation runs a small hospital and community health education program in rural Zambia. As part of its strategic plan, NWF wants to expand its community health education program to include an HIV and AIDS education program and a mobile VCT clinic.
- Scenario 2: The organization NOHIV has an average staff retention rate of one year. The organization knows the turnover rate is high, but it isn't exactly sure why it is so high. As part of its strategic plan for 2009 to 2012, it wants to improve the average time staff work for NOHIV to three years.
- Scenario 3: The HIV Relief organization has a strategic objective to ensure quality HIV and AIDS counseling to 30,000 people by 2012, the end of its strategic planning cycle.

Handout 2-4: Guidance for HRM Strategy Scenarios

Scenario 1

The New World Foundation runs a small hospital and community health education program in rural Zambia. As part of its strategic plan, NWF wants to expand its community health education program to include an HIV and AIDS education program and a mobile VCT clinic.

Focus

- Numbers and skills

Possible questions

- What is the timeframe for the project?
- What skills will be needed?
- Do we currently have these skills?
- How many people do we plan to reach?
- How much time is required to provide these services?
- How many people will we need to provide the services?
- What is the geographic scope of the project?

Possible strategies

- Assess skills and staffing needs.
- Develop an HR plan for the new project.

Scenario 2

The organization NOHIV has an average staff retention rate of one year. The organization knows the turnover rate is high, but it isn't exactly sure why. As part of its strategic plan for 2009 to 2012, it wants to increase the average time staff work for NOHIV to three years.

Focus

- Motivation, engagement, retention

Possible questions

- Why are people leaving?
- What are the costs of all these people leaving?
- What are the costs to the programs?
- How can we improve retention?

Possible strategies

- Do exit interviews.
- Do an employee survey.
- Put together a strategy to help improve retention.

Scenario 3

The HIV Relief Organization has a strategic objective to ensure quality HIV and AIDS counseling to 30,000 people by 2012, the end of its strategic planning cycle.

Focus

- Performance

Possible questions

- How many counselors will we need to reach 30,000 in the time specified?
- What skills are needed to counsel clients?
- What standards are available for counseling?
- What systems do we need to put in place to ensure counselors meet standards?
- What training do we need to provide?
- What kind of supervision will be needed?
- What quality assurance systems can we put in place?

Possible strategies

- Do skill and staffing needs assessments.
- Develop standards and train employees to enable them to perform according to the standards.
- Use supervision and performance appraisals to monitor and improve performance.

Handout 2-5: Sample HRM Action Plan

Current Status	Desired Status (goal)	Proposed Change	Change Leader	Action Steps for Implementing Change	Communication Strategy	Team Involvement	Monitoring Strategy	Performance Indicator	Timeline
No formal performance appraisal system	A performance appraisal policy and tools that is implemented on an annual basis	Establish a performance appraisal policy and tools	HR Manager	<ol style="list-style-type: none"> 1. Map out the supervisory structure 2. Develop the performance appraisal tools 3. Train staff to set performance goals and use the tools 4. Train supervisors to conduct performance appraisal meetings 5. Communicate performance appraisal events to prepare staff to set goals, set up meetings and conduct PA 	<ol style="list-style-type: none"> 1. Meet with staff to present the objective of the process and present ideas for moving forward 2. At monthly staff meetings report on development of process and tools 	<ol style="list-style-type: none"> 1. Put together a PA team to review policy, tools and PA process 	<ol style="list-style-type: none"> 1. Do monthly review of achievement of activities against plan. 2. Collect information on numbers of staff who have PA meeting set up with supervisor 2 weeks prior to PA review period 3. At end of PA review period review information on % of staff who had a Performance Assessment 4. Team review of sample performance objectives 1 per year to monitor the quality of objectives and decide on future training needs 	% of staff who have completed PA (to be assessed the month following the PA period)	1/31/10

Current Status:

Desired Status:

Proposed Change:

Change Leader:

Action Steps for Implementing Change:

Communication Strategy:

Team Involvement:

Monitoring Strategy:

Performance Indicator:

Timeline:

Handout 3-1: Guidance for Tracking Staff Movements Exercise

Scenario

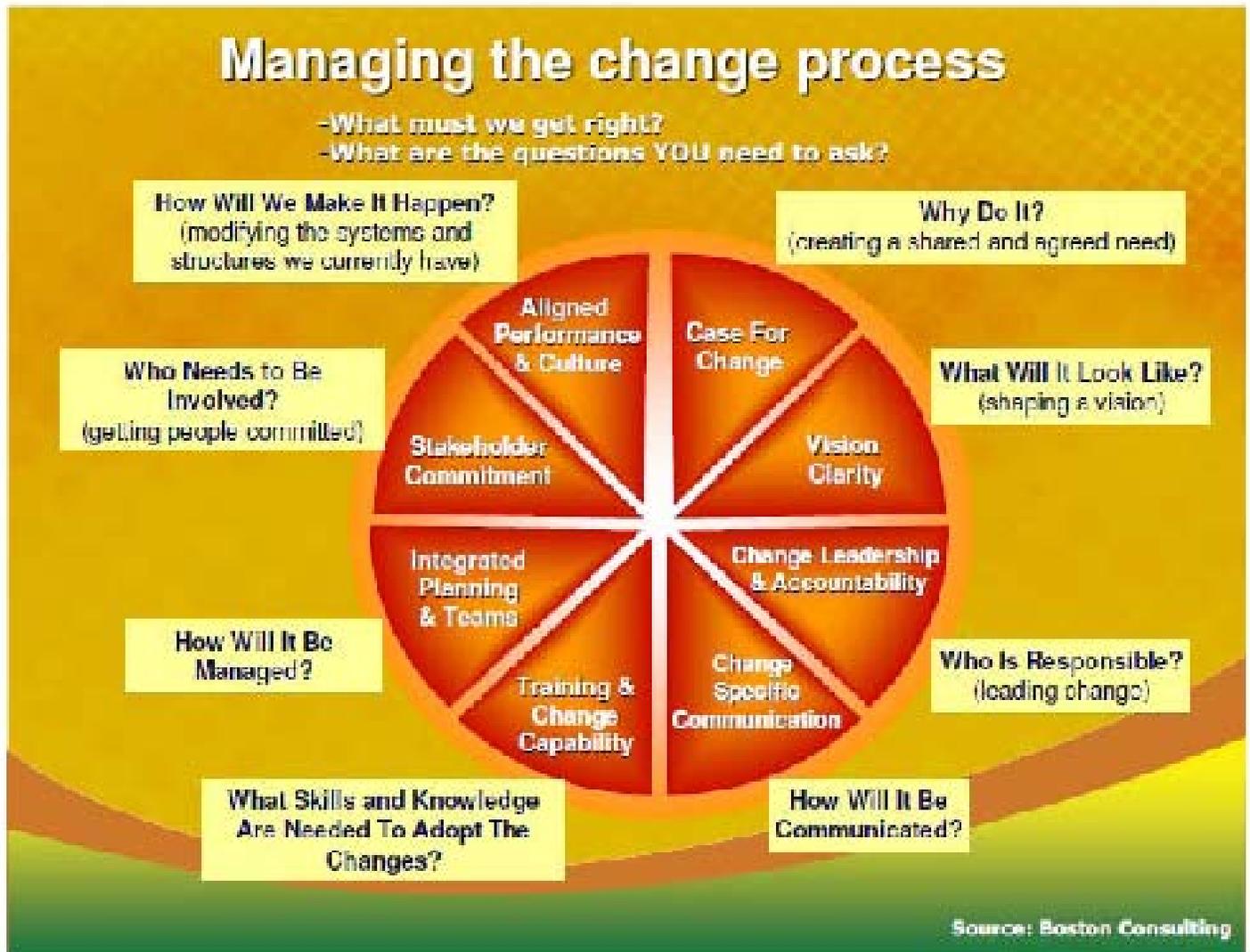
NWF has a heavy workload, active staff and one vehicle. The manager feels he does not properly control or regulate vehicle use and whether or not staff are planning their time efficiently. He put up two white boards. On one he asked staff to put their weekly schedules, and on the other they were to sign out the time they left the office and their destinations. After two weeks, he found the board empty and staff sullen.

1. Why did the staff resist?
2. What should the manager have done differently?

Possible answers

1. Why did the staff resist?
 - They were not involved in the decision-making process.
 - They didn't understand the rationale for the change.
 - They didn't understand the problem.
 - They didn't understand clearly what they were to do.
2. What should the manager have done differently?
 - Talked to staff about the problem.
 - Involved the staff in developing a solution.
 - Asked staff to develop workplans and share them with him and with their colleagues.

Handout 3-2: Change Wheel



Handout 4-1: Guidance for Staffing Needs Assessment Case Study

Instructions

Use the case study below to complete Worksheet 3 and then Worksheet 1 in Handout 4-2. Have one or more participants read it aloud.

The New World Foundation wants to start a new community VCT program. To do so, it will need additional staff. The NWF CEO, human resource manager, and program manager sit together to determine what additional staff they will need to run a successful community VCT program. To date, the managers have never really done a staffing analysis; they just hire people when they think they need them and pay them monthly according to the salary scale. The HR manager notes that as the organization is getting larger and building its professional reputation, it is time to be more systematic. Plus, they want to submit a realistic budget for the proposal and for that they need to estimate the staffing implications of the new program.

NWF knows that community VCT counselors are going to be crucial for their program. They want to reach 20,000 people with VCT in two years in five districts. Currently, they have community workers providing education on safe drinking water in two of the districts. They are not sure if these community workers will be able to take on the added burden of VCT or if they will need new community workers in these districts and in the three additional districts. They sit down to define the tasks that will need to be carried out in the community VCT program.

To implement their strategy, NWF determined that the community VCT counselors would have to

1. plan, coordinate and publicize VCT days.
2. provide pre-test and post-test counseling to clients.
3. test clients.
4. provide group HIV and AIDS information sessions.
5. register clients and record test results.
6. refer clients for STI, ART, and other services.
7. compile monthly reports.
8. follow up referrals every month.
9. participate in planning meetings.
10. participate in refresher training.

Supervisors will need to

1. be trained in VCT.
2. conduct monthly supervision and monitoring visits.
3. compile monthly reports.
4. participate in planning meetings.
5. provide support, feedback, and capacity building.
6. do annual performance reviews.
7. do annual client satisfaction surveys.

Talk this through with the participants. What data did the organization use? (national recommendations). The organization starts with an estimate of three days for counseling with the remaining time for other activities. They don't know yet if this will work, but they will map it out and see if they can come up with a reasonable estimate and rationale.

The point here is not to guess. Map out what you can, use the data you have, and do your best to make reasonable estimates and assumptions that have a rationale behind them.

Based on national recommendations, they know that counselors can counsel up to eight clients a day. With all their other activities, they estimate that each counselor will be providing individual counseling only three days a week and that there will be two community VCT centers per district.

$$20,000/2 \text{ years} = 10,000/\text{year}$$

$$10,000/5 \text{ districts} = 2,000/\text{district}$$

$$2,000/52 \text{ weeks} = 38/\text{week per district}$$

$$38/2 \text{ VCT centers} = 19/\text{week per VCT center}$$

$$19/3 = 6\text{--}7/\text{day/VCT center}$$

$$7/2 = 3\text{--}4/\text{day/counselor}$$

With group information sessions, testing, registering clients, and recording test results, the organization thinks that two counselors will have to work simultaneously in order to manage client flow. So each counselor will be responsible for counseling on average three to four clients per VCT clinic per day.

They estimate based on research they have seen that combined pre-test counseling, post-test counseling, and testing will take one hour per client.

$$3 \text{ counseling days per week} \times 52 \text{ weeks per year} = 156 \text{ days}$$

$$156 \times \text{a maximum of 4 clients per day} = 624 \text{ clients per VCT counselor per year}$$

For the other activities they estimate the following:

Staff Category			
Task (a)	Time per Task (hours) (b) (Assumes 2 days and assumes they are also doing community information sessions 1 day for preparation and coordination, 1 day for information sessions)	No. Tasks / Year (c) (Assumes 2 times per month)	Total Time/Year (hours)(d) (Have participants calculate the answers for this column)
Plan, coordinate, publicize VCT days	16	24	384
All counseling and testing	1	624	624
Other client services	0.25	624	156
Monthly reporting	4	12	48
Monthly referral follow-up	8	12	96
Quarterly planning meetings	8	4	32
Refresher training	8	4	32
Total Time Required in a Year (hours): (In the first part, you would calculate the responses up to here. Then you need to know what the total full-time equivalent (FTE) is to calculate the rest. Continue with the next part below)			1,372
Total FTE Staff Required: Time required in a year (hours)/Total work hours per year			0.8 = 80%

Participants should use Worksheet 1 in Handout 4-3 to enter this information and try to calculate the FTE. See answers below.

To know what all these hours mean in terms of people:

The HR manager sets out to estimate what the organization's FTE days are, to know how many days a year full-time staff work.

NWF works a 40-hour week as per its policies.

Each staff member gets 20 days of leave per year, and there are 10 national holidays per year.

Each staff member is entitled to 10 days of sick leave per year, but on average only five are taken.

Each staff member is entitled to a total of five days of compassionate leave; these are mostly taken.

Finally, female staff members are entitled to 60 days of maternity leave. Since not all staff are women and only a few of the staff working for the organization are of reproductive age, the organization estimates an average of five days of maternity leave for all staff.

Staff Category		Per Year
Working hours per week	Hours/week X 52	2,080
Annual vacation leave hours	Days X hr in workday	160
Annual public holiday hours	Days X hr in workday	80
Average hours of sick leave taken	Days X hr in workday	40
Average hours of compassionate leave taken	Days X hr in workday	40
Average hours of maternity leave	Days X hr in workday	40
Total working hours available = working hours minus other hours		1,720
Total working days per year (FTE) = X /8 (This is 8 because it assumes an 8-hour workday. If the organization had a standard 7.5 hour workday then they would divide by 7.5)		215

The analysis shows the program manager that the community educators currently providing community information on clean water do not have the literacy levels to reliably take on the tasks of counseling, testing, and reporting required by at a VCT center. The HR manager realizes that even if they did have the literacy levels, they are already working two days a week and they will need each VCT counselor to work at least four days a week, thus they will need new staff to fulfill the role of community VCT counselors working at 80 percent time.

With two VCT centers per district over five districts, they will need staff to cover 10 VCT centers. To do this, they will need to hire 20 community VCT counselors.

The CEO was very happy with the work done by the HR and program managers, and he thought the estimate was well calculated, but he had other concerns and questions.

What do you think some of these concerns and questions might have been?

Possible answers

- This assumes that every clinic is going to have the same number of clients in every district. What if one district has a much higher population?
- Eighty percent time works out nicely to four days a week, but it will be difficult to find people willing to work only four days a week. How can we deal with that?
- The first year will be slower than the second. We won't reach our target in the first year; how will we reach even more clients in the second year if we don't have more staff?

How else might you use the FTE calculation?

Possible answers

- To see if our policies and practices are reasonable for helping us accomplish what we need to accomplish.
- You can also use it to help calculate reasonable consultancy rates (previous salary divided by FTE working days = daily rate).

Handout 4-2: Staffing Needs Assessment Case Study

There are basically three steps to estimating staffing needs:

1. Defining the specific activities that need to be carried out
2. Deciding who should carry out those activities
3. Estimating how much time will be needed to carry out the activities

Instructions: Use the case study below to complete Worksheets 2 and 3 then Worksheet 1

The New World Foundation wants to start a new community VCT program. To do so, it will need additional staff. The NWF CEO, human resource manager, and program manager sit together to determine what additional staff they will need to run a successful program. To date, the organization has never really done a staffing analysis; they just hire people when they think they need them and pay them monthly according to the salary scale. The HR manager notes that as the organization is getting larger and building its professional reputation, it is time to be more systematic. Plus, they want to submit a realistic budget for the proposal and for that they need to estimate the staffing implications of the new program.

NWF knows that community VCT counselors are going to be crucial to their program. They want to reach 20,000 people with VCT in two years in five districts. Currently, they have community workers providing education on safe drinking water in two of the districts. They are not sure if these community workers will be able to take on the added burden of VCT counseling or if they will need new community workers in these districts and in the three additional districts. They sit down to define the tasks that will need to be carried out in the community VCT program.

To implement their strategy, NWF determined that community VCT counselors would have to

1. plan, coordinate and publicize VCT days.
2. provide pre-test and post-test counseling to clients.
3. test clients.
4. provide group HIV and AIDS information sessions.
5. register clients and record test results.
6. refer clients for STI, ART, and other services.
7. compile monthly reports.
8. follow up referrals every month.
9. participate in planning meetings.
10. participate in refresher training.

Supervisors will need to

1. be trained in VCT.
2. conduct monthly supervision and monitoring visits.
3. compile monthly reports.
4. participate in planning meetings.
5. provide support, feedback and capacity building.
6. do annual performance reviews.
7. do annual client satisfaction surveys.

Based on national recommendations, they know that counselors can counsel up to eight clients a day. With all their other activities, they estimate that each counselor will only be providing individual counseling three days a week and there will be two community VCT centers per district.

$$20,000/2 \text{ years} = 10,000/ \text{ year}$$

10,000/5 districts = 2,000/district
 2,000/52 week = 38/week per district
 38/2 VCT centers = 19/week per VCT Center
 19/3 = 6-7/day/VCT Center
 7/2 = 3-4/day/counselor

With group information sessions, testing, registering clients and recording of test results, the organization thinks that two counselors will have to work simultaneously in order to manage client flow. So each counselor will be responsible for counseling on average three to four clients per VCT clinic per day.

They estimate based on research they have seen that combined pre-test counseling, post-test counseling and testing will take one hour per client.

3 counseling days per week X 52 weeks per year = 156 days
 156 X a maximum of 4 clients per day = 624 clients per VCT center per year

For the other activities they estimate the following:

Staff Category			
Task (a)	Time per Task (hours) (b)	No. Tasks / Year (c)	Total Time/Year (hours)(d)
1. Plan, coordinate, publicize and conduct VCT days	16 16	24 24	
2. All counseling and testing	1	624	
3. Other client services	0.25	624	
4. Monthly reporting	4	12	
5. Monthly referral follow-up	8	12	
6. Quarterly planning meetings	8	4	
7. Refresher training	8	4	
Total Time Required in a Year (hours):			
Total FTE Staff Required: Time required in a year (hours)/Total work hours per year:			

To know what all these hours mean in terms of people:

The HR manager set out to estimate what the organization's full-time equivalent (FTE) days are to ascertain how many days a year full-time staff work.

NWF works a 40-hour week as per its organizational policies.

Each staff member gets 20 days of leave per year.

There are 10 national holidays per year.

Each staff is entitled to 10 days of sick leave per year, but on average only five are taken.

Each staff member is entitled to a total of five days of compassionate leave; these are mostly taken.

Finally, female staff members are entitled to 60 days of maternity leave, but not all staff are women and only a few of the staff working for the organization are of reproductive age. The organization estimates an average of five days of maternity leave for all staff.

The analysis shows the program manager that the community educators currently providing community information on clean water do not have the literacy levels to reliably take on the tasks of counseling, testing, and reporting required for at a VCT center. The HR manager realizes that even if they did have the literacy levels, they are already working two days a week and they will need each VCT counselor to work four days a week, thus they will need new staff to fulfill the role of community VCT counselors working at 80 percent time.

With two VCT centers per district over five districts, they will need staff to cover 10 VCT centers. To do this, they will need to hire 20 community VCT counselors.

The CEO was very happy with the work done by the HR and program managers; he thought the estimate was well calculated, but he had other concerns and questions.

What do you think some of these concerns and questions might have been?

How else might you use the FTE calculation?

Handout 4-3: Staffing Needs Case Study Worksheets

Worksheet I:

To calculate the total number of workers of each sort that will be needed, you first need to define the total working time available for each category (FTE or full-time equivalent).

For staff, you need to take into account the standard working hours per week (multiplied by 52) minus time off each year (i.e., average number of annual hours for sick leave, compassionate leave, maternity leave, etc.). The net number of working hours each year can then be calculated. Using the worksheet below, fill in the appropriate information for each category of staff.

Staff Category		Per Year
Working hours per week	Hours/week X 52	
Annual vacation leave hours	Days X hr in workday	-
Annual public holiday hours	Days X hr in workday	-
Average hours of sickness taken	Days X hr in workday	-
Average hours of compassionate leave taken	Days X hr in workday	-
Average hours of maternity leave	Days X hr in workday	-

Worksheet 2:

This worksheet is intended to help you lay out your calculations for the number of people needed for a designated activity or program. List all the tasks that will need to be carried out and which category of staff or volunteer should perform them. Then use Worksheet 3 to estimate how much time will be needed to carry out each activity and then calculate how many people will be needed.

Task	Who will Carry out the Task
1	
2	
3	
4	
5	
6	
7	
8	
10	
11	

H) Worksheet 3:

This worksheet helps you to assess the number of employees of each kind that will be required based on the list of all the tasks that need to be carried out to implement your activity or program and your decisions on who should carry them out.

Write the category of worker at the top of the worksheet and then copy each of the tasks listed on Worksheet 1 that this worker will need to perform into column (a). In column (b), estimate the time (in hours) it will take to complete this task once. In column (c), enter the number of times in one year that this task will need to be carried out. To complete column (d), multiply the entries in columns (b) and (c) which will give you the total time per year required to complete that task. By adding the total times for all tasks, you will derive the total estimated time required for that category of worker.

Staff Category			
Task (a)	Time per Task (hours) (b)	No. Tasks / Year (c)	Total Time/Year (hours)(d)
1			
2			
3			
4			
5			
6			
7			
Total Time Required in a Year (hours):			
Total FTE Staff Required: Time required in a year (hours)/Total work hours			

Handout 4-4: Sample Employee Manual

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I) I. INTRODUCTION

The purpose of this manual is to outline the responsibilities of the employer, (name of organization), and the employee. This is a basic document guiding employer-employee relations to be used in conjunction with specific job descriptions, individual contracts and other written documents and policies.

J) 2. EMPLOYMENT INFORMATION

A. Key Definitions

Full-time employee—A full-time employee is any person who regularly works at least 30 hours of a standard 40-hour workweek. Office hours are 8AM to 5PM, Monday through Friday, with a one-hour break for lunch each day.

Part-time employee—A part-time employee is any person who regularly works fewer than 30 hours per week. Certain benefits such as assistance with funerary and educational expenses may not be available to part-time employees.

Authorized dependent—Authorized dependents are the spouse and dependent children of the employee, including the stepchildren of either the employee or spouse and legally adopted children up to the age of 18, or up to 21 years of age if the dependent child is a full-time student and is not married. A child over 21 may be considered an authorized dependent if that child, owing to mental and/or physical disabilities, is incapable of being employed.

Employees may claim only one spouse and up to five children as authorized dependents.

Secondary dependents—Secondary dependents may include the following:

- 1) A child under 18 years of age both of whose parents have died and who is residing with and dependent upon the employee
- 2) An individual under the age of 21, both of whose parents have died and who is residing with the employee, is unmarried and is a full-time student
- 3) An individual who resides with the employee and, owing to mental and/or physical disabilities is incapable of being employed
- 4) The mother, father or mother-/father-in-law of an employee if that person resides with the employee full time and is wholly dependent upon the employee for support.

Employees may claim only two secondary dependents.

B. Terms of Employment

The personnel policies provided here apply to individuals hired locally and are governed by the rules and labor laws of the country. The conditions and regulations of employment attempt to follow as closely as possible the local laws, customs and practices. [Name of organization] recognizes that good personnel administration is founded on principles designed to ensure the dignity and the rights of all staff members. Working conditions, privileges and benefits that are conducive to both individual well being and to program achievements shall be maintained within practical limits. These policies are subject to change as the organization changes and as projects develop. Rather than depending on excessive rules, we rely on common sense, creativity and balancing client and professional needs to produce an excellent organization in terms of both its achievements and its quality as a workplace.

[Name of organization] does not discriminate in employment because of age, religion, race, creed, gender, national origin, handicap, veteran, marital, health or socioeconomic status. Employment and promotions are based on qualifications and merit.

For clarification or additional information, please contact your supervisor.

At the time of employment, an employment agreement will be furnished to the new employee that will include a description of the position for which s/he is employed, the employment period, an agreed upon annual base salary, the category of employment, a statement of benefits, and a copy of this manual.

Full- or part-time employees are often hired for a specific project or award and may be subject to specific terms or conditions contained therein. The employment period for each employee will be clearly stated in the employment agreement with employment terminating at the conclusion of the project or contract or earlier, if for cause.

Some employees may have different working hours which will be stipulated in the employment contract.

In accordance with national law, employees may be required to pass a physical examination paid for by the organization before beginning employment.

C. Probationary Period

All employees will be engaged for a three-month probationary period; the employee may terminate employment at any time within the probationary period by providing one day's written notice. On completing the probationary period, the new employee should receive a written evaluation from his or her supervisor. The supervisor will make a recommendation concerning continued employment. The employee will be notified in writing of her/his status at the end of the probationary period. If the employee's performance is found to be unsatisfactory, either probation may be continued for a limited time period, or employment will be terminated.

D. Salary

Salaries will be determined on an individual basis according to the duties, skills and expertise required by the position. It is our policy to ensure that salaries and benefits provided to local employees are consistent with prevailing labor laws and compensation practices. Payday is no later than the third working day of the month. Salaries are paid in local currency and in arrears and are subject to all local payroll withholdings in accordance with national laws and regulations.

Each employee is further entitled to a monthly lunch allowance and a monthly transportation allowance. Both allowances are subject to local income tax. These allowances are included in the calculation of the base salary.

Fluctuations in the US dollar exchange rate have no bearing on local salaries.

Salary advances are not permitted under any circumstances.

Payment computation is based on a timesheet that must be submitted for the supervisor's approval on the last workday of the month. Salary checks will be issued or transfers made on the first working day following the close of the pay period. The employee's supervisor will maintain a complete file of each employee's time and attendance records.

E. Local Payroll Taxes

[Name of organization] participates in the payroll income tax program and will therefore deduct local payroll taxes from employees' gross pay for the tax authorities on behalf of all employees. All salary deductions will be shown on each employee's monthly statement of earnings.

F. Overtime

Overtime is work performed in excess of 48 hours in one calendar week or on Sundays or official holidays. Overtime work must be approved in advance and in writing by the employee's supervisor. Overtime work will be approved only when necessary.

Employees will be paid for authorized overtime work on an hourly basis, at the rate of 150 percent of their base hourly salary for each overtime hour worked. For work on a Sunday or a holiday, employees will receive 200 percent of their base salary for each hour worked.

Time off may be given in lieu of overtime pay if it can be taken within one month. Some positions may have irregular hours which will be stated in the employment agreement. Overtime pay for those positions hours will be calculated on a case-by-case basis.

G. Health Care and Other Benefits

Health Coverage/Insurance: Employees and their dependents (as defined in section 2A of this manual) are eligible for health coverage. All employees will be enrolled at the [name of clinic] or at any other qualifying clinic. Hospitalization will be covered using the low-cost option.

If the employee wishes not to enroll in [name of clinic], he/she and their dependents will have the option to enroll in their local public health clinic. Employees will be reimbursed for the cost of enrollment upon submission of proof of enrollment.

In all cases, the employer will not cover prescription drugs; individual employees are responsible for their own prescriptions.

Retirement: Employees who retire at the age of 55 or older and who have 10 years continuous service are entitled to a one-time payment equal to three months' salary for each year of employment.

National Pension Scheme: [Name of organization] participates in the national pension scheme. Under national law, each employee is required to contribute a portion of her/his salary to this scheme. [Name of organization] makes a matching contribution on each employee's behalf. The money is deducted from the employee's salary each month and paid to the national pension scheme authority. All salary deductions will be shown on each employee's monthly statement of earnings.

Funerary Assistance: Upon the death of a full-time employee, [name of organization] will pay her/his family an amount equal to one month's base salary upon presentation of a death certificate. In addition, [name of organization] will contribute [specify amount] to help defray funeral costs.

Upon the death of an authorized or secondary dependent, [name of organization] will contribute [specify amount] to help defray funeral costs upon presentation of a death certificate.

Funerary assistance payments are subject to income tax.

Educational Assistance: Full-time employees can receive assistance with their children's or secondary dependents' school fees. [Name of organization] will pay an education allowance of [specify amount] per child per year for a maximum of three children. Employees must provide proof of enrollment in an educational institution.

For job-related education, the expenses may be paid by the local office with the permission of the program manager. Time off to attend courses also requires the permission of the program manager. Whenever possible, a flexible schedule will be created so that the employee can attend the course and still complete her/his assigned work.

Educational assistance payments are subject to income tax.

3. POSITION / SALARY CLASSIFICATIONS

A. Position Descriptions/Salary Classifications

Each position is classified based on a description that will be used to determine the appropriate salary scale for it. It is important that the descriptions are up to date to accurately reflect the employee's duties and responsibilities.

B. Merit Increase

While the overall compensation schedule will be monitored and revised regularly, merit increases based on satisfactory or better performance will be recommended annually in conjunction with the employee's anniversary of employment. The amount of merit increase will be determined by a percentage established each fiscal year by [name of organization].

C. Promotion

It is our policy to offer promotions to qualified and deserving employees when vacancies occur. Vacancies are filled by promoting in-service employees whenever possible.

When an employee is promoted to a higher position, the salary of that employee will be reviewed and an increase may be granted by the employee's supervisor.

4. PERFORMANCE EVALUATIONS

Performance evaluations are done annually by the employee's supervisor at the time of the employee's anniversary of employment or promotion. Supervisors are encouraged to discuss job performance periodically with each employee, regardless of whether or not there have been issues. Employees are also encouraged to seek feedback and to participate fully in any discussions on performance.

The initial performance review for all employees is done at the end of the probationary period. In the probation performance review, the supervisor will recommend confirmation of employment, extension of the probationary period or termination of employment. If an employee reports to more than one individual, the employee's supervisor will consult with each one in the course of conducting the performance review.

The performance review provides a record of how an employee is performing and is used to justify a merit increase and to identify an employee's training needs. It is the basis for a promotion. A copy of the performance review is kept in the employee's local personnel file, and a copy is sent to headquarters.

A merit increase is not awarded to an employee whose work is not satisfactory. Instead, a discussion will be held with the employee that outlines the improvements to be made, the time frame for improving and the consequences of not improving.

Nothing in this policy shall be construed to prevent the dismissal of an employee who does not perform satisfactorily at any time or to prevent a reduction in salary in cases where the employee is assigned to and accepts a position for which the maximum salary range is below the employee's salary at the time of assignment to the lower position.

5. OFFICE AND WORK SCHEDULES

The office is open for business from 8:00 AM to 5:00 PM, Monday through Friday. When necessary, employees may be able to arrange alternative work schedules in consultation with their supervisors. Some employees may have different work hours; they will be stipulated in the employment contract.

6. EMPLOYEE RECORDS

Employee records will be locally maintained. These files will contain all pertinent documents such as appointment letters, performance evaluations, personnel actions, job descriptions, biodata forms, resumes, letters of recommendation, discipline records, memos to the file and any other information pertaining to employment. Employees are encouraged to keep copies of all personnel documentation.

7. ATTENDANCE

Dependable employees are crucial to the smooth running of our organization. Employees are asked to plan ahead for vacations and other time off so that the projects are not adversely affected. Employees should request approval from their supervisors for annual leave at least one month in advance.

There will be occasions, however, when emergencies occur and an employee will not be able to come to work. Employees are asked to inform the office, preferably their supervisors, as soon possible when they are not able to report to the office or to perform their work assignments. Whenever possible, they should make arrangements to have any critical work assignments covered by someone else or at least let the supervisors know of things that must be done in their absence.

8. LEAVE ALLOWANCES

The supervisor or her/his designee will maintain leave records for individual employees. These records constitute the official leave file and are part of the employee's official personnel file.

A. Holidays

The office will set a holiday schedule at the beginning of each year consisting primarily of local holidays and a few US holidays. This list will be posted in the office.

When a holiday falls on a weekend (Saturday or Sunday), the holiday will be observed according to local custom. Holidays falling during an employee's leave will be considered holidays and not leave days. If an employee is required to work on a holiday due to pre-scheduled training, meetings with host country or US officials on travel status, s/he is entitled to take that holiday at another time within the same calendar year subject to his/her supervisor's approval; where applicable, an employee is entitled to overtime pay if required to work on a holiday (see section 2F).

No holiday will be paid while the employee is on unpaid leave. Regular part-time employees are eligible for a portion of the holiday, based on the ratio of hours worked per week to the standard workweek. For example, an employee working half-time would be entitled to half-pay for the holiday.

B. Annual Leave (Vacation)

Employees will earn two days of annual leave per month. An employee hired after the 10th of the month or terminated before the 20th of the month does not accrue either annual or sick leave for that month.

During the first three months of employment, full-time employees may accrue but not use annual leave without the written approval of their supervisors. Part-time employees must work six consecutive months before taking annual leave.

Annual leave must be planned and approved taking into account the expected workload within the office. Since annual leave is provided to employees for rest and relaxation, the full use of annual leave is encouraged. Because of the benefits resulting to both employees and [name of organization], supervisors will ensure that each employee is allowed to take regular and sufficient continuous leave each year.

Unused annual leave may be carried over to the next year up to a maximum of 24 days.

Employees may not use leave they have not yet earned.

When an employee terminates or resigns with proper notice for any reason, s/he will be paid the value of any accrued, unused vacation leave.

Annual leave will be charged in minimum increments of one half-day.

C. Sick Leave

The purpose of sick leave is to provide time off with pay when an employee is unable to work due to medical reasons. Employees are entitled to three months of sick leave per year at full pay followed by three months sick leave per year at half pay. Employees receive full benefits while on sick leave.

In addition to the above, female employees are eligible for a paid leave of absence to care for their children who have been hospitalized. This leave is in addition to and will not be deducted from regular sick leave. For this additional leave to be approved, the employee is required to present a certificate from a doctor recommending the mother remain with her child while that child is in the hospital.

With the supervisor's written permission, sick leave may also be used for medical and dental examinations and treatment (with appropriate advance notice given to the employee's supervisor) and to care for and/or accompany to the hospital an authorized or secondary dependent who is ill or in need of medical and dental treatment. The employee must notify her/his supervisor of an absence due to a dependent's illness as soon as possible.

Sick leave must be approved in writing by the supervisor and reported to the person in charge of monitoring attendance. Employees may be required to provide a doctor's certificate for sick leave of more than two workdays.

During the first three months of employment, full-time staff may not use sick leave. Part-time employees may not use sick leave during the first six months of employment.

Upon separation, no payment will be made to the employee for any unused sick leave.

Sick leave will be charged in minimum increments of one half-day.

D. Maternity Leave

Full-time female employees are eligible for 90 consecutive days of paid maternity leave.

A request for maternity leave must be in writing and accompanied by a certificate from a qualified medical officer or midwife stating that the employee's confinement will likely take place within six weeks of the date on the certificate. While on maternity leave, the employee will be paid 100 percent of her salary and benefits.

Male employees are encouraged to take paternity leave immediately after the birth of their children, using their annual and sick leave time.

In the case of an abnormal delivery or multiple births, an employee is eligible for two weeks (80 hours) of supplemental maternity leave with full salary and benefits. If the employee needs additional time beyond the allowed maternity leave, she may use her annual leave or may request unpaid leave. Sick leave may be requested if the absence is medically necessary. The employee's supervisor may require her to provide documentation to prove she is eligible for supplemental maternity leave.

Maternity leave will be taken in minimum increments of one day. Employees are encouraged to notify their supervisors as soon as the pregnancy is an established fact.

In the event of termination of employment or resignation for any reason, no payment will be made to the employee for any unused maternity leave.

E. Breast Feeding

[Name of organization] encourages breast feeding. Upon return from maternity leave, a female employee will be provided up to one hour per day for breast feeding for a maximum of 15 months post partum.

F. Leave of Absence (Unpaid Leave)

A leave of absence may be requested in writing through an employee's supervisor and must be approved in writing by the supervisor. Leaves of absence will be deducted from an employee's length of service when calculating annual leave and other benefits. The employee will not earn leave during these periods. If a leave of absence is requested for medical reasons, the employee must first use all accumulated sick and annual leave. Employees on leave of absence will not be paid for official holidays that fall within that period.

G. Compassionate Leave

Compassionate leave with pay shall be given at the discretion of the employee's supervisor, as follows:

Death of employee's spouse, parent or child—up to five working days

Death of employee's sibling or in-law—up to two working days

An employee may take up to 10 days of compassionate leave per year. Unused compassionate leave may not be carried over to the next year.

An application for compassionate leave must be submitted in writing at least one day in advance. If that is not possible, a retro-active application must be provided within one week following the event.

The employee's office director or supervisor may require appropriate proof to support a request for compassionate leave.

In the event of termination of employment or resignation for any reason, no payment will be made to the employee for any unused compassionate leave.

9. TERMINATION OF SERVICE

Continued employment with [name of organization] is subject to certain conditions. The most important of these are the need for the employee's services, the continuance of the program in which the employee works and the employee's conduct and efficiency.

Types of Termination

1. **Resignation.** The employee may terminate her/his employment by providing written notice to her/his supervisor at least one month prior to the effective resignation date. Vacation shall not be taken from the time that an employee gives notice until her/his last day of employment without prior approval of the appropriate supervisor.
2. **Retirement.** Under national law, employees may, at their option, retire at the age of 55, at which time they may become eligible for retirement benefits subject to conditions (see section 2G).
3. **Termination by expiration of employment contract.** Employment shall automatically terminate upon the expiration date of the employee's contract unless the contract is renewed or replaced prior to its expiration date.
4. **Reduction-in-force or other program requirements.** [Name of organization] has the right to terminate any employment by providing one month's notice (or payment in lieu of notice) whenever it is determined that the employee's services are no longer necessary due to lack of funding, reorganization, or other program changes or needs. Management will make every effort to inform staff as far in advance as possible of any such reduction or termination.
5. **Dismissal due to gross misconduct.** Gross misconduct by an employee will result in immediate dismissal without any notice or wages in lieu of notice. Gross misconduct is defined as any action that an employee willingly and knowingly takes that harms, jeopardizes or otherwise seriously endangers the well being of [name of organization] or its staff. Gross misconduct includes but is not limited to the following:
 - Deliberate false statement, misrepresentation or fraud in an employment application or official documents
 - Failure to comply with written or oral rules, regulations or instructions in such a way that the program or the work of others is seriously jeopardized
 - Dishonesty or untrustworthiness in statements or in actions
 - Serious negligence of or unauthorized use of premises, equipment, material or property
 - Theft of staff money, equipment, material or property
 - Using, buying, or selling illegal substances while at work or on work premises
 - Serious negligence in performing duties
 - Divulging sensitive, privileged information.
6. **Dismissal due to general misconduct or poor performance.** Termination of employment may also result from continued poor performance or general misconduct including such issues as repeated errors, inability to learn required tasks after instruction, tardiness, wasting time, negative attitude toward other employees, and other infractions that result in inadequate work or poor customer service.

B. Severance Pay

The organization may provide severance pay in accordance with national labor laws.

10. VEHICLES

Vehicle Rules and Regulations

1. Vehicles shall be used for business purposes only. No private use is authorized by visiting consultants or staff.
 2. Vehicles shall be driven only by either the driver or another pre-authorized, designated driver.
 3. When not in use, vehicles shall remain at the offices or in a predetermined secure location.
 4. Vehicles shall not be used on weekends or evenings with the following exceptions:
 - Picking up and dropping off consultants and/or staff members at the airport
 - Driving consultants and/or staff back to their hotels after work
 - Conducting field activities where the team needs to stay overnight
 - Official project work (meetings, workshops, etc.) authorized in advance by the country director.
- Vehicles will be available to pick up consultants and/or staff members at their hotels each morning and to drop them off after the workday is completed. If a consultant and/or staff member needs to use a vehicle for business purposes during the course of the day, s/he should make arrangements with the office supervisor first.
5. Priority for the use of a vehicle is based solely on program needs, not on the title or rank of the person needing it.
 6. A logbook will be maintained for the vehicles. The driver must fill it out for every trip, the passenger must sign for each trip and at the end of the month, the log must be reviewed and signed by the day-to-day supervisor and sent to headquarters.
 7. Any vehicle used for business must be equipped with functioning seatbelts, and all passengers and drivers must use them. If a driver does not use seatbelts, [name of organization] may terminate the employment agreement without any liability on its part.
 8. If vehicles are not available, personal vehicles may be used only with the prior written authorization of the employee's supervisor. In this case, only mileage will be reimbursed at the current [stipulate] rate. The rate per mile will be converted to kilometers by dividing the US dollar amount by 1.61 (1.00 mile = 1.61 kilometers), and the official amount per kilometer to be reimbursed will be outlined in an annual memo to all staff every January. In order to be reimbursed for mileage, employees must include the date, the number of kilometers traveled and the origin and destination of the trip on their expense reports. Employees will receive reimbursements in local currency at the time that the expense report is paid. The seatbelt rule also applies to personal vehicles.
 9. In the event that a driver of a vehicle or a personal vehicle used for business commits a traffic violation, s/he is responsible for paying any and all fines and may be subject to disciplinary action as deemed appropriate by the country director.

11. WORKPLACE CONDUCT

A. Smoke-Free Workplace

In the interest of good health for all employees and visitors, smoking is not allowed in the workplace except in designated areas.

B. Use of Illegal Drugs and Alcohol

The possession, use, manufacture, sale or distribution of illegal drugs on the premises is strictly forbidden and is grounds for immediate dismissal. Alcohol may not be consumed during working hours. No employee may work under the influence of alcohol regardless of where it is consumed. Any employee found with or under the influence of alcohol during working hours is likely to be subject to immediate dismissal and may be subject to legal action.

C. Ethics

Employees are required to exercise the highest ethical standards and to conform to a code of conduct compatible with [name of organization's] mission and values. An employee should be free of any personal interests that could influence his or her judgment or action in the conduct of business or that would affect his or her responsibility. An employee must not only avoid situations that give rise to a conflict of interest but also those situations that create the appearance of a conflict of interest.

This policy is not intended to delineate every situation that could give rise to a conflict of interest but should serve as a general guideline for evaluating specific situations as they arise. An individual with basic good judgment should generally know whether or not a particular activity involves an actual or potential conflict without the need for specific rules; however, where there is doubt, the matter should be brought to the attention of the employee's supervisor who will take action as appropriate.

D. Conflict of Interest

The management respects the rights of its employees relative to activities outside this employment that are private in nature and that do not conflict with or reflect adversely upon [name of organization]. Conversely, employees are asked to refrain from any activity that would have a negative impact on [name of organization] or its ability to do business locally or elsewhere.

Staff are expected to promote [name of organization's] stated interests and to refrain from using their positions to supplement their incomes directly or indirectly or to obtain other material benefits including gifts other than those considered tokens.

An employee may perform work or services for another organization only to the extent that the activity does not prevent the employee from devoting the time and effort that her/his position requires.

Staff may not directly or indirectly be engaged or financially involved in any enterprise or project to which [name of organization] is providing assistance.

No staff member should knowingly act in a capacity or urge others to act in a manner designed to confer any financial or commercial benefit, whether actual or potential, on themselves or on any firm or corporation in which they or family members have a significant interest as partner, stockholder, director or officer. If a situation should arise, the individual should disclose the nature of such interest to the supervisor.

Information obtained as a result of employment that is not information generally available to the public may not be communicated to any outside individual(s) or organization(s).

Whereas national employees are free to participate in the politics of their country, they may not under any circumstances link [name of organization] to their political activities or in any way state or infer that [name of organization] supports their views or actions. Employees who are not nationals are forbidden to participate or otherwise interfere in the internal political affairs of the country.

[Name of organization] strives to be in strict compliance with all laws and regulations that are applicable to its activities. In the event that a regulation is ambiguous or difficult to interpret, [name of organization] has access to legal counsel in order to determine compliance with a policy and observance of all laws and regulations. Such advice should be sought if any questions arise.

E. Code of Conduct

The mission and values of [name of organization] govern the conduct of all undertakings. We intend that our practices are compatible with the stated priorities of the countries in which we work. The code of professional conduct and ethical behavior must be observed in all environments, and honesty and integrity must characterize all activities.

Activities contrary to the code of conduct are the following:

1. Any conduct that results in unethical personal financial enhancement for any employee
2. Unlawful acts committed in the US or abroad
3. Any conduct considered discriminatory to other persons or groups on the basis of culture, ethnicity, race, religion, health condition, age, or gender
4. Conduct based on bias toward or against consultants, vendors/suppliers, donors, or partners
5. Gambling, betting, or participating in lotteries during work hours or on company leased or owned property.

F. Discovery of Questionable, Fraudulent or Illegal Activities

Discovery of questionable, fraudulent or illegal activities that might be or might appear to an outsider to be in violation of [name of organization's] standards and policies must be reported immediately to the employee's supervisor.

G. Injury on the Job

Any injury or accident occurring on the job should be reported to the supervisor as soon as possible, even if it does not require medical attention. The employee and witnesses may be asked to write a report of the incident.

H. Other Incidents Requiring Reports

A report should also be written on any injury occurring to a visitor on the premises or in vehicles. Likewise, any unusual occurrence involving our staff, visitors or property should be documented. In cases of theft or assault, the police may need to be contacted. The employee's supervisor or her/his designee should manage all communications with external authorities.

12. DISCIPLINARY ACTION

Proven violations of standards and policies by any employee, regardless of the type of appointment, will lead to appropriate disciplinary action. Depending on the seriousness of the case, a disciplinary action may entail (i) an oral or written reprimand, (ii) suspension from duty without pay, or (iii) separation and in addition may be cause for legal action. Generally, an employee must be given the opportunity to provide an oral or written explanation or justification before the disciplinary action is taken. Generally, only one disciplinary action may be administered per offense.

Types of Disciplinary Action

1. **Oral reprimand.** An oral reprimand is generally made by the employee's supervisor and is noted in the record and later confirmed by the supervisor in a letter to the employee. Plans for correcting the situation should be agreed to by both the supervisor and employee. Timeliness is extremely important with any oral counseling or reprimand as it is the opportunity for a frank discussion of expectations.
2. **Written reprimand.** A written reprimand is used when an oral reprimand has already been administered without success or when the offense is more serious. The written reprimand is normally signed by the employee's supervisor and a copy is placed in the employee's personnel file. The reprimand should contain plans for improvement including how the employee will be followed up.

3. **Suspension.** Suspension is used when oral or written reprimands have been administered without success or when the gravity of an offense is so serious as to warrant the more stringent corrective action of a short separation. Suspension can be up to eight (8) workdays and is usually without pay though suspension with pay may occur while an event or issue is under investigation. Any suspension should be well documented in the employee's personnel file. Suspension can be administered only by the employee's supervisor in collaboration with management.
4. **Separation for cause.** An employee may be separated for cause if his/her performance is found to be unsatisfactory or if found to be guilty of improper conduct. Separation for cause may be effected immediately and does not require advance notice; however, except for serious offenses (theft, malfeasance, etc.), the employee's separation should follow oral or written warnings in which a plan was developed to address poor performance. When an employee's performance is such that continued employment is not advised, a transition plan may be implemented. The plan must be approved by both management and the employee's supervisor. Separation can be administered only by the employee's supervisor in collaboration with management.

13. GOVERNANCE AND MANAGEMENT'S RESPONSIBILITY

The country director is responsible for disseminating this policy to all staff and for instituting and maintaining a program to ensure that employees understand the standards and policies. Employees are responsible for reporting any suspected violations of this code to the country director without fear of reprisal.

Responsibility for voluntarily reporting possible violations of federal procurement laws to appropriate government agencies rests with management.

14. EMPLOYEE'S RESPONSIBILITY

Employees are required to abide by the foregoing code of conduct and conflict of interest standards in their dealings with vendors/suppliers, consultants, donors and other contacts. They are also required to report any violations of these standards immediately to the employee's supervisor and/or country or program director.

15. GRIEVANCE PROCEDURES

The grievance procedure promotes open dialogue to resolve conflicts and is to be conducted in keeping with [name of organization's] values of trust and respect. An aggrieved employee should consult first with her/his direct supervisor regarding actions, occurrences, or attitudes either expressed or implied that are perceived as unfair or discriminatory. If a satisfactory resolution to the problem cannot be reached, the employee should appeal to the next level of management in country (if any) in a personal meeting followed, if necessary, by a written complaint.

No charge to leave or loss of pay will be made for attending a grievance proceeding.

16. CONCLUSION

As an evolving document, these policies are subject to change. All employees are encouraged to suggest changes to management.

ACCEPTANCE OF THE EMPLOYEE MANUAL AND PERSONNEL POLICIES FOR EMPLOYEES

Name (in block letters) _____

I have received a copy of the employee manual dated _____. I have read and understood the manual and agree to the rules and regulations it contains. I understand that the manual is subject to change at any time.

Signature _____

Date _____

Handout 5-1: Job Design Checklist

Definition: Designing a job is putting together various elements to form a position within an organization taking into consideration factors such as resources, departments, strategies, etc.

Positions in organizations (jobs) require careful consideration and planning. Jobs that are not well designed can lead to staff dissatisfaction, conflict, failure to achieve objectives, poor performance, and a waste of time and resources.

When to design a job:

1. **Recruiting for a job that already exists.** To start, review the job to determine whether the position is still required and if so, what skills are needed. Sometimes the skills required are the same; however, we often learn lessons from past experience that enable us to more clearly define what is needed to do the job well and/or to serve the organization well.

2. **New positions.** New positions need to be carefully considered as they require a serious commitment on the part of the organization. The new position will need to be funded (salary) over the long term and it will need to produce an added benefit to the organization. It is important to remember that in many countries, eliminating positions can be very difficult. Take the time to carefully think through the new position, what its objectives will be and how it will fit into the organization.

Job design checklist

Here are some things to consider when designing a job.

1. Is the job really needed? Can our existing staff take on the additional responsibilities, or do we really need a new staff member?	
2. Is there a permanent need for this position? Should we outsource? If the job isn't needed for the long run, hiring a consultant or another organization can be a more cost-effective way of getting the job done.	
3. Is this a full-time or a part-time position? What level of effort will be needed to do this work and achieve a high standard of performance?	
4. What function will the job serve; what gaps will it address?	
5. What skills are needed for the position to be effectively carried out?	
6. Are those skills likely to be found in a single individual (is it really one post or two)? For example, if you need a community HIV and AIDS educator and someone to do accounting for the community program, you may not be able to find these skills in a single person and may need to recruit two part-time or full-time positions.	
7. Can the current structure of the organization support the position and enable it to be effective? Where will the job fit, who will the new position report to and which staff, if any, will the new position oversee? Are there resources available to enable this position to be carried out effectively? For example, if you feel your organization needs a community program supervisor but you have no transportation and no funds to pay for transportation to the field, your organization cannot effectively support this position.	
8. Does the job duplicate or conflict with other positions in the organization?	
9. Will the job keep the employee motivated, interested and committed? Think carefully about the skills the job requires and the qualifications needed for the job. Most people need a position that they are capable of filling but find challenging. Otherwise, they will lose interest and move on.	

Handout 5-2: Job Description

Department: _____

Section: _____

Unit: _____

Job Category: Unclassified

Job Number: _____

Reports to:

Board of Directors

Supervises:

Project Manager Director
Strategic Planning Manager
SSBU Directors
Revenue Generation Director

Functional Relations:

With all board of trustees and center directors

Academic Qualifications:

Master's degree in business administration

Languages:

Arabic and English

Work Experience:

25 years of experience of which the last ten were in a similar position

Main Function:

Manages the overall operations of the foundation, monitors its centers, and achieves results in line with QF's vision, goals, and board directives; defines long-term strategy and annual targets of QF; ensures implementation of QF's policies and procedures; recommends changes in goals and strategies defined by the board and manages the operations of the shared services business units.

Duties and Responsibilities

- Develops the long-term strategy of the foundation and ensures the interest of the founder
- Monitors the implementation of the foundation's rules and regulations across QF and its centers
- Prepares and recommends changes in the policies and internal rules and regulations and submits them to the board of directors for approval and authorization
- Reviews and approves the annual business plans and budgets of QF and its centers
- Presents and discusses long-term strategy, annual business plan, and budgets with QF's board of directors
- Discusses the annual business plans and budgets with the SSBU directors

- Reviews and revises suggestions to amend the organization's structure to improve the efficiency of operations and submits to the board of directors for approval
- Prepares recommended policies and procedures for the foundation and its centers and any amendments in management, operations, human resources, information technology, and finance and administration.
- Approves changes in methods, tasks, processes and procedures within the framework of the overall policies and standards of the foundation
- Evaluates and approves management reporting and any amendments required to assess the performance of the foundation and its centers
- Reviews the monthly or periodic reports from the management audit; issues instruction to the managers concerned regarding any violation of QF's policies and the action required to remedy the situation
- Evaluates and approves the automation strategy of the foundation and its centers
- Liaises and coordinates with and among the centers and submits their suggestions and recommendations to the board of directors
- Participates in the trustees meeting and gives guidance and support
- Promotes the foundation's image in the community
- Deals with the SSBU directors daily
- Assists trustees in specifying the remuneration and bonuses of center directors
- Undertakes initial tasks related to setting up new centers, affiliations, or joint partnerships
- Periodically reviews and evaluates the financial performance of the centers and submits reports to the board of directors
- Reviews and evaluates the financial performance of the consolidated position of the foundation
- Monitors the overall consolidated cash flow position of the foundation and its centers
- Recommends internal financing for centers to board of directors
- Recommends the appointment of employees and consultants to the board of directors
- Recommends the establishment of specialized permanent or temporary committees in coordination with the various QF units and centers to the board of directors
- Recommends new programs and investments to the board of directors
- Approves variations to the foundation's and centers' original budget line items covering purchases of goods, capital expenditures, recruitment of employees, and general expenses
- Maintains good relations with major educational, research and community institutions
- Communicates with the directors of the SSBU on operational and policy issues
- Evaluates the performance of directors and recommend raises according to performance
- Conducts periodic meetings with SSBU directors to discuss common management issues
- Conducts periodic meetings with the investments and strategic planning directors to discuss performance and action plans
- Reports to QF's chairperson on the progress of work, policy issues and plans
- Presents periodic reports to board of directors

Special Skills:

- Presentation, negotiating, and interpersonal skills
- Computer literacy: MS Windows applications (Word, Excel and PowerPoint)

Personal Traits:

- Visionary
- Motivator
- Leader
- Systematic thinker
- Creative
- Solution provider
- Communicator
- Public Speaker
- Decision-maker

Updated By:	Approved By:
Date:	Date:

Handout 5-3: Job Advertisement/Announcement Sample and Worksheet

Vacancy: Program Assistant

Organization: The New World Foundation

Location: Lusaka Zambia

The mission of the New World Foundation is to provide high-quality HIV and AIDS services and to support communities to effectively fight HIV and AIDS in Zambia. Our vision is a world free of AIDS. Since 2001, the New World Foundation has been providing HIV and AIDS prevention, care, and treatment services in the Lusaka and Copperbelt provinces of Zambia. In the last eight years, we have supported over 3,000 communities and have treated over 8,000 with antiretrovirals and other medications essential in the fight against AIDS.

The New World Foundation seeks a program assistant for its new Community VCT Program. The program assistant will support the program managers and staff of the Community VCT Program which aims to provide VCT services to 25 districts in Zambia.

Key responsibilities:

- Provide a range of support activities for the Community VCT Program including coordinating the provision of training (both locally and via distance learning)
- Manage logistics for training, workshops, and other events
- Ensure smooth communication with field staff and the regular provision of tools and worksheets required by field staff to do their jobs
- Support the logistics manager to ensure test kits are continuously available
- Provide administrative support for all Community VCT Program activities including links to the NAC, Provincial AIDS Task Forces, and District AIDS Task Forces that are coordinated by the policy team.

How to apply:

To apply for this post, please send a CV and cover letter to: recruitment@newworld.org. Note "VCT-PA" in the subject line of your email.

Please see the job description posted at <http://www.newworld.org/jobs/VCT-PA> for full details.

Application deadline: COB 20 July 2009

The New World Foundation is an equal opportunity employer and welcomes applications from appropriately qualified people from all sections of the community. Qualified people living with HIV are particularly encouraged to apply.

For more information, visit: <http://www.newworld.org>.

Handout 5-4: Interviewing Suggestions

When you interview candidates, you want to learn directly about their experience and training; their ability to work (fit) in the environment you offer and their attitudes and capacity to handle work situations or problems common to the position for which they are applying. The interview is also an important opportunity for the candidates to get to know your organization and to better understand the job for which they are applying.

To conduct an effective interview:

Prepare. Your organization should have a clear procedure for conducting the interview that defines (i) who will do the interview (group of staff with one candidate, candidate moves from one staff member to another...), (ii) what questions will be asked (they should be decided before the interview, and all candidates should be asked the same questions to ensure fairness), and (iii) the space and time for the interview.

Interview:

During the interview, the interviewer should put the interviewee at ease and inform him/her of the structure (who they will talk to when, etc.).

Ask open-ended questions that allow the interviewee to provide a thoughtful response rather than a yes or no answer.

Make sure to listen to what the candidates say. Evidence that you are not listening will not create a good impression of your organization and will degrade the quality of the interview.

Allow the interviewee time to speak, don't interrupt and give time for him/her to think before responding.

Ask if he/she has any questions.

Conclude by thanking the interviewee and explaining the next steps, how long it might take, when he/she might get a response, etc.

Sample interview questions. (Please note, these are just samples. You should develop questions that are appropriate for the position you are seeking to fill and the priorities of your organization.)

1. What interests you about this job?
2. What skills would you bring to this job and/or organization?
3. Tell me about your previous work experience.
4. In your last position your title was _____. Can you tell me more about your specific responsibilities in that job?
5. This position requires XYZ. Tell me what you have done in your previous work which prepares you to take on these responsibilities.
6. Describe a professional success you are proud of.
7. I noticed that you received an award in your last position. Can you tell me more about what you did to receive this award?
8. What type of work environment do you feel most comfortable in?
9. Why did you decide to seek a new job?
10. [If the applicant has changed jobs frequently (i.e., yearly or more)] I notice from your CV that you have had a number of positions in the last few years. What has motivated your frequent job changes?
11. (If there is a gap in the CV) I noticed you don't have anything listed for the years 2003 to 2005. Can you tell me what you were doing during this time?
12. (If not currently employed) What have you been doing recently?
13. Describe the best boss you have ever had and the worst.
14. How do you handle conflict with fellow employees? Give an example of a conflict you had with someone in the past and how you resolved it.

15. (For a managerial or supervisory position) Have you ever managed/supervised a difficult employee? How did you handle the situation (example)?
16. What do you feel your greatest strengths and weaknesses are?
17. Can you describe three things about yourself professionally that you think we should know?

Handout 5-5: Recruiting Strategy Plan Guidelines

A recruiting strategy plan will be developed for each vacancy taking into consideration the unique nature of each position. The recruiter will contact the hiring manager when developing the plan. The purpose of this document is to look beyond the job description into the challenges of this position.

Position Title:

Date Posted on Website:

Country:

Program/Department:

Hiring Manager:

Contact Information:

Others involved in:

1. Reviewing resumes
2. Interviewing and selecting

Reason for Job Opening:

Anticipated Start Date:

Recruiter:

Performance Profile (criteria for advertising, sourcing, assessing, and interviewing):

- What will the person need to do to become successful? (Get measurable objectives for each major factor in the job, technical needs, etc.)
- What are the biggest challenges in the job? What improvements are needed? What problems need to be solved?
- What is the work environment like? (facilities, group, group dynamics, available resources)
- Determine the traits and abilities of the best people in this job. What traits predict success?

Sourcing Candidates:

- Determine the best places to source candidates in a targeted way (advertising, networking, etc.)

Interviewing Questions:

- Determine a list of competency-based interview questions. Review them with the hiring manager.

USG HRM Requirements:

Handout 5-6: A Summary of Turnover and Retention

Turnover may be due to a number of factors.

Employer controlled: Dismissals, early retirement

Employee initiated: Dissatisfaction, personal reasons

Employer and employee uncontrolled: long-term illness, normal retirement, maternity leave, death in service

The purpose of staff retention strategies is to minimize employee initiated and employer controlled turnover. Retaining staff increases an organization's technical and managerial capacity, reduces costs, reinforces staff morale, strengthens teamwork and makes recruiting more efficient and effective.

Does your organization adequately retain staff?

1. **Keep track of leavers.** Your organization should keep track of the number of people leaving each year, what positions they held and why they left. Use this information to analyze the average number of years employees work with the organization.
2. **Know the environment.** If data are available, benchmark your organization against other NGOs. Contact organizations similar to yours or an NGO umbrella organization to find out if they have information on staff turnover they can share with you.
3. **Analyze turnover.** Analyze why turnover happens in your organization paying particular attention to employer controlled and employee initiated factors.
 - Why have you had to dismiss staff? Answering this question may help you improve your recruiting so you hire staff more appropriate for your organization. Layoffs can be expensive and bad on staff morale. Understanding the factors that lead to layoffs can help you plan more effectively.
 - Why do staff members leave? Understanding why staff leave can help you develop strategies to attract the right staff and to keep them in the organization longer.
4. **Assess cost.** Assess the cost of turnover in terms of recruiting and hiring, temporarily filling positions, severance pay, orientation and costs for training replacements.
5. **Develop retention strategies.** Address the following questions:
 - How do we recruit the right people for our organization?
 - How can we make our pay rates more competitive?
 - How might we change, expand or improve our benefit package (i.e., pension and health insurance, housing and/or transportation allowances, flex time, and leave)?
 - How can we foster professional development opportunities?
 - How should we ensure that we have clear policies and apply them equitably to all staff?
 - How can we improve employee engagement? Monitor employee engagement (see engagement section and questionnaire in the HRM training packet).
6. **Remember, some turnover is normal.** No organization will have zero turnover. What is important is finding the right balance so your organization benefits from the knowledge and skills of your staff to the greatest extent possible, can continue to realize organizational objectives, and has an engaged workforce. Some positions might naturally turn over quickly. This is acceptable in some circumstances as long as your organization is aware of this and has incorporated it into your strategy.

Handout 6-1: Guidance for Salary Structure Exercise

Scenario

The New World Foundation is growing, and the CEO now feels it is time for the organization to rationalize its compensation systems. As a start, he wants to establish a salary structure. He sits down with the administrator who is in charge of managing human resources and they put together a plan. They first form a team of managers to oversee the development of the salary structure that includes the finance manager, the chief administrator, and the CEO. The team sets a goal to have the salary structure completed by the end of September so they will have time to submit it to the board for approval and to staff in time to apply the structure at the beginning of the new fiscal year in January.

A. The team works together to identify steps they will follow and agree on who will be responsible for each action. They

- 1) map out the jobs and check job descriptions.
- 2) develop a job classification structure.
- 3) gather and analyze data.
- 4) develop the salary structure.
- 5) develop policies and procedures for compensation that go along with the salary structures.
- 6) submit the salary structure and policies to the board for approval.
- 7) meet with staff before they start, during their deliberations, and afterwards to discuss the objectives, the process, progress, and the results.

B. First they want to map out the jobs in their organization. The administrator collects all the job descriptions. She reviews them and makes sure they are up to date. It turns out that most of them are more than a year old, so she works with the managers, supervisors and staff to update them all.

C. Second, she works with the team to classify the jobs. They come up with eight classifications:

- 1) Support staff 1
- 2) Support staff 2
- 3) Program staff 1, support staff 3
- 4) Program staff 2, administrative level 1
- 5) Program management 1, administrative level 2
- 6) Program management 2, administrative level 3
- 7) Middle management
- 8) Top management

D. Third, they contact the local NGO umbrella organization because they know a survey of base salaries was recently completed, and they want to use the results to help them calculate their own salary grades.

The results show that cleaners and drivers doing basic chores in most organizations have a median pay of 2,400 a month, with more experienced support staff earning as high as 4,500. Directors or CEOs are earning a median pay of 7,500, middle managers 6,500, program managers between 4,000 and 6,000, program staff between 3,000 and 6,000, and administrators between 4,000 and 6,000.

NWF does not want to establish a highly complicated salary scale, but it wants room for some diversity and growth.

Participants should start with the pay of 2,400 a month in the middle of the bottom row of the grid (row I column 5), then follow instructions under F 2.

To keep things relatively simple, the organization decides to start out with ranges of nine steps. The team agrees to review this after the first year to see if it works well enough to accommodate promotions and pay increases.

To start, they set the range spread at 50 percent for grades 1 through 5 and 60 percent for grades 6 through 8 which, according to the data from the NGO umbrella organization, is typical for NGOs in the country.

They set the difference between the lowest level of each grade at 15 percent for grades 1 through 5 and then 20 percent for grades 6 through 8.

E. Follow these steps to calculate the salary grades and ranges for NWF:

1) Assume NWF agrees with the median salary for the lowest grade and chooses to use that as its starting point. Plug that number into the appropriate column and row in the grid.

2) Use the following formulas to calculate the range:

(a) Minimum of the range = the midpoint minus 20%
 $\text{Midpoint} - (\text{Midpoint} * 0.2)$

(b) Maximum of the range = the minimum plus range spread (in this case 50% for 1)
 $\text{Minimum} * 1.5$

(c) The minimums for the remaining 7 grades = minimum of each grade plus 15% (for 1–5) and plus 20% for 6–8.
 $X * 1.15$ or $X * 1.2$

(d) Calculate the maximum for each of the grades by adding 50% for grades 1–5 and 60% for grades 6–8.
 $\text{Minimum} * 1.5$
For higher grades: $\text{Minimum} * 1.6$

(e) Calculate the midpoint for the remaining grades by taking the average of the minimum and the maximum.
 $\text{Average} = \text{minimum} + \text{maximum} / 2$

(f) Next divide the range into quarters (note, this can be done in thirds as well) as follows:
 $X = (\text{maximum} - \text{minimum}) / 4$

i) Add X to the minimum to get the maximum salary for the first quarter of the range

The mid-point minimum plus result of ii. = 1st quarter maximum

ii) Add X to the result of i. to get the maximum of the second quarter in the range

iii) Add X to the result of ii. to get the maximum for the third quarter in the range

Answers

	1			3					
	min	quarter		half	quarter		max		
	1	2	3	4	5	6	7	8	9
8	5803	6238	6673	7108	7544	7979	8414	8849	9284
7	4836	5198	5561	5924	6286	6649	7012	7374	7737
6	4030	4332	4634	4936	5239	5541	5843	6145	6448
5	3358	3568	3778	3988	4198	4407	4617	4827	5037
4	2920	3103	3285	3468	3650	3833	4015	4198	4380
3	2539	2698	2857	3015	3174	3333	3491	3650	3809
2	2208	2346	2484	2622	2760	2898	3036	3174	3312
1	1920	2040	2160	2280	2400	2520	2640	2760	2880
	Min	Middle	Max	Min	Max	Min	Max	Min	Max

F. Finally, NWF examined its current job categories against the salary structure to see where they might best fit. Current salaries were as follows:

CEO: 5,730

Director of Finance: 5,600

Financial manager: 4,700

Chief Administrator: 4,500

Admin Assistant: 3,500

Director of Programs: 4,900

Project coordinators: 3,000 to 3,500

M and E officers: 2,750 to 3,300

Field officers: 2,300 to 2,500

Drivers: 2,000 to 2,300

Cleaners: 1,600 to 1,900

Questions (guidance and possible answers)

- 1) Given the categories they have developed and their existing salaries, how do you think they might fit existing positions into the structure?
Have them see and discuss what fits best.
They should look at the way they have grouped positions and fit the positions, not the individuals, into the grid.
They would have to examine and possibly question current pay practices; for example, if they have grouped cleaners and starting drivers in the same category but pay starting drivers a lot more, why is that true? There may be a gender bias to correct.
- 2) What might be the effects of fitting existing positions rather than salaries into the structure?
If the focus is on positions and where they fit in the grid, some salaries might go up and some might go down.
Some positions may experience bigger pay increases than others. This would have to be managed among staff so that they understand why it is happening in order to avoid resentment.
Sharing with staff the rationale for categorizing staff and the objectives of the salary structure can help mitigate frustration or anger.
Keeping salary increases private is also very important. Management and the administration should keep the specifics for each individual private but should ensure that each salary is justified and that the salary structure is equitable.
- 3) What changes might you recommend?
They may want to widen their ranges to allow for more growth, but they wouldn't necessarily need to.
They might need to increase some salaries.
They would have to manage increases and come up with strategies to manage salaries that are too high for the grid.
The current structure doesn't allow enough space for existing upper management to have salaries that are commensurate with the market and to have room for growth. To address this, they could add another grade to the top and make it 9 instead of 10. This would allow room for all their existing staff.
- 4) How might you handle these issues?
If they can't afford to increase salaries right away, they should put together a plan and a budget and should work to get resources to increase salaries.

Other questions:

- 5) What if the median for the industry is quite a bit higher than we can pay?
Your organization will need to consider how it is going to handle this.
Will you offer special benefits, time off, flex time, housing allowances, etc., to compensate for this?
Will you set a policy to increase salaries over the next five years until they are on par with salaries in other organizations? If so, what strategy will you use to get the funds to support this?
There are many possibilities, but staff retention and engagement should be carefully monitored when salaries are below average for the industry.

- 6) What happens if you don't have market data either because you are unable to collect it or because no data are available?

You can use an average salary for the lowest category of worker in your organization as a starting point.

- 7) What if we determine a salary structure that is very reasonable and corresponds to the industry median, but some staff members are currently paid more or less than their positions merit in the new scale?

You may want to consider freezing pay increases or offering limited pay increases until the person's salary is in line with what the organization has determined in its structure.

For staff paid at lower levels, consider pay increases.

- 8) Question: What if we determine a salary scale which we feel is reasonable, but our program budgets depend on slightly lower salaries than we have identified?

You will have to come up with a strategy for handling this.

One possibility is to do gradual salary increases until you can finally bring them in line with the structure you think is most reasonable. That will minimize the effect of salary increases on your budget.

The other possibility is to revise your budgets and adjust line items to the extent possible to make up for salary increases. Beware though, because if you do this, donors will ask for justification and you should be prepared to provide a clear and detailed rationale.

Handout 6-2: Salary Structure Exercise

The New World Foundation is growing and the CEO now feels it is time for the organization to rationalize its compensation systems. As a start, he wants to establish a salary structure. He sits down with the administrator who is in charge of managing human resources and they put together a plan. They first form a team of managers to oversee the development of the salary structure. The team includes the finance manager, the chief administrator and the CEO. The team sets a goal to have the salary structure completed by the end of September so they will have time to submit it to the board for approval and to staff in time to apply the structure at the beginning of the new fiscal year in January.

A. The team works together and identifies the following steps and agrees on who will be responsible for each.

1. Map out the jobs and check job descriptions.
2. Develop a job classification structure.
3. Gather and analyze data.
4. Develop the salary structure.
5. Develop policies and procedures for compensation that go along with the salary structure.
6. Submit the salary structure and policies to the board for approval.
7. Meet with staff before they start working, during their deliberations, and afterwards to discuss the objectives, the process, progress and the results.

B. First they want to map out the jobs in their organization. The administrator collects all the job descriptions. She reviews them and makes sure they are up to date. It turns out that most of them are more than a year old, so she works with the managers, supervisors, and staff to update them all.

C. Second, she works with the team to classify the jobs. They come up with eight classifications:

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2. Support staff 2
3. Program staff 1, Support staff 3
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8. Top Management

D. Third, they contacted the local NGO umbrella organization because they know a survey of base salaries was recently completed, and they want to use the results to help them calculate their own salary grades.

The results show that cleaners and drivers doing basic chores in most organizations get have a median pay of 2,400 a month, with more experienced support staff earning as high as 4,500.

Directors or CEOs are earning a median pay of 7,500, middle managers 6,500, program managers between 4,000 and 6,000, program staff between 3,000 and 6,000, and administrators between 4,000 and 6,000.

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a. Minimum of the range = the midpoint minus 20%

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b. Maximum of the range = the minimum plus range spread (in this case 50% for 1)

$$\text{Minimum} * 1.5$$

c. Minimums for the remaining 7 grades = minimum of each grade plus 15% (for 1–5) and plus 20% for 6–8.

$$X * 1.15 \text{ or } X * 1.2$$

d. Calculate the maximum for each of the grades by adding 50% for grades 1–5 and 60% for grades 6–8.

$$\text{Minimum} * 1.5$$

$$\text{For higher grades: } \text{Minimum} * 1.6$$

e. Calculate the midpoint for the remaining grades by taking the average of the minimum and the maximum.

$$\text{Average} = \text{minimum} + \text{maximum} / 2$$

f. Next divide the range into quarters (note, this can be done in thirds as well) as follows:

$$X = (\text{Maximum} - \text{minimum}) / 4$$

i. Add X to the minimum to get the maximum salary for the first quarter of the range

The mid-point minimum plus result of ii. = 1st quarter maximum

ii. Add X to the result of i. to get the maximum of the second quarter of the range

iii. Add X to the result of ii. to get the maximum for the third quarter of the range

F. Finally, NWF examined its current job categories against the salary structure to see where they might best fit. Current salaries were as follows:

- CEO: 5,730
- Director of Finance: 5,600
- Financial manager: 4,700
- Chief Administrator: 4,500
- Admin Assistant: 3,500
- Director of Programs: 4,900
- Project coordinators: 3,000 to 3,500
- M&E officers: 2,750 to 3,300
- Field officers: 2,300 to 2,500
- Drivers: 2,000 to 2,300
- Cleaners: 1,600 to 1,900

Questions:

1. Given the categories they developed and existing salaries, how do you think they might fit existing positions into the structure?
2. What might be the effects of fitting existing positions rather than salaries into the structure?
3. What changes might you recommend?
4. How might you handle these issues?

Grade	Min		1st Quarter		Midpoint		3rd Quarter		Max
	1	2	3	4	5	6	7	8	9
8									
7									
6									
5									
4									
3									
2									
1									

Handout 6-3: Sample Salary Scales

K) Classification and Job Title Classification Description Salary Range

Support Level I (2,000 - 4,000)	Cleaner Cook/Cleaner Driver Gardener Guard, MED Agent Transport Assistant	Positions require little or no formal education and little or no former work experience in a similar area. The competencies necessary for the position are widely available within the pool of potential candidates. These positions have no supervisory responsibilities.
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Support Level II (4,000 - 6,000)	Driver/Mechanic Lead Driver Head Guard Logistics Assistant MED Assistant	Positions require a moderate level of formal education as well as a moderate level of relevant past experience. They may also entail some basic supervisory responsibilities and/or have responsibility for the proper care and keeping of organizational assets.
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Program Level I or Support Level III (6,000 - 8,000)	Social Worker Resident Information Officer Resident Protection Officer GBV Community Mobilizer Office Assistant Administration Officer	Positions require a moderate level of formal education as well as a moderate level of relevant past experience. They may also entail some basic supervisory responsibilities and/or have responsibility for the proper care and keeping of organizational assets.
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<p>Manager Level I (10,000-12,000)</p>	<p>HIV and AIDS Advisor Livihoods Officer M&E Officer Returns Officer Training Officer Logistics Officer Reports Officer Protection Officer Outreach Social Worker</p>	<p>Positions require a high amount of formal education/training and a high level of previous relevant work experience. May have significant supervisory responsibility, generally entailing supervision of a functional or sectoral team within a larger program or department and responsibility for the safekeeping of substantial organizational resources.</p>
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<p>Manager Level III (14,000-16,000)</p>	<p>Finance/Admin Manager Program Manager MRE Program Officer Human Resource Manager</p>	<p>Positions require extensive formal education and extensive prior relevant work experience. They entail sole supervisory responsibility for an entire program or office, OR country-wide supervision of an administrative department.</p>
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Handout 7-1: Employee Engagement Questionnaire

Gallup's Q12 Employee Engagement Questions	Strongly Disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1. Do you know what is expected of you at work?	1	2	3	4	5
2. Do you have the materials and equipment you need to do your work right?	1	2	3	4	5
3. At work, do you have the opportunity to do your best every day?	1	2	3	4	5
4. In the last seven days, have you received recognition or praise for doing good work?	1	2	3	4	5
5. Does your supervisor or someone else at work seem to care about you as a person?	1	2	3	4	5
6. Is there someone at work who encourages your development?	1	2	3	4	5
7. At work, do your opinions seem to count?	1	2	3	4	5
8. Does the mission/purpose of your company make you feel your job is important?	1	2	3	4	5
9. Are your associates (fellow employees) committed to doing quality work?	1	2	3	4	5
10. Do you have a best friend at work?	1	2	3	4	5
11. In the last six months, has someone at work talked to you about your progress?	1	2	3	4	5
12. In the last year, have you had opportunities at work to learn and grow?	1	2	3	4	5

Handout 7-2: Teambuilding Lessons We Can Learn from Geese

-Author Unknown

Fact #1 – As each bird flaps its wings, it creates uplift for the bird following. By flying in a "V" formation, the whole flock adds 71 percent greater flying range than if one bird flew alone.

Lesson Learned – People who share a common direction and sense of community can get where they are going quicker and easier because they are traveling on the strength of one another.

Fact #2 – Whenever a goose falls out of formation, it suddenly feels the drag and resistance of trying to fly alone and quickly gets back into formation to take advantage of the lifting power of the bird immediately in front.

Lesson Learned – If we have as much sense as geese, we will stay in formation with those who are ahead of where we want to go and be willing to accept their help as well as give ours to others.

Fact #3 – When the lead goose gets tired, it rotates back into the formation and another goose flies at the point position.

Lesson Learned – It pays to take turns doing the hard tasks and sharing leadership.

Fact #4 – The geese in formation honk from behind to encourage those up front to keep up their speed.

Lesson Learned – We need to make sure our honking from behind is encouraging and not something else.

Fact #5 – When a goose gets sick or wounded or shot down, two geese drop out of formation and follow it down to help and protect it. They stay with it until it is able to fly again, or dies. Then they launch out on their own, with another formation, or they catch up with their flock.

Lesson Learned – If we have as much sense as geese do, we too will stand by each other in difficult times as well as when we are strong.

http://www.teambuildinginc.com/article_geese.htm

Handout 7-3: Team Building Scenarios

Scenario 1: What went wrong with this team and what would you do to address the problem?

The New World Foundation CEO wants to expand the number of programs the organization supports. He calls in the organization's two project managers and tells them to lead an effort to expand programs. The program managers call together the program staff and tell them that the CEO wants to expand programs. They ask for ideas. The staff provides a number of ideas, but they remain on a list and are never followed up. The CEO doesn't check back with them. At the strategic planning meeting a year later the CEO says, "I remember last year we talked about expanding programs, but nothing seemed to come of that."

Scenario 2: What went wrong with this team and what might you do to address the problem?

The New World Foundation community VCT program manager brings her staff together to form a team to implement the program. The team includes the program manager, the admin assistant for the program, the HIV technical advisor, the M&E officer and the two field officers. The team sets clear objectives, norms for the frequency, and structure of meetings and defines the program's objectives and their roles and responsibilities. Everyone gets busy; staff members are frequently out in the field and meetings get pushed back. The program manager feels everything is going well and people are busy, so she doesn't worry. The donor wants to visit program sites. As the program manager prepares for the visit, she learns that half the sites have not received supervisory visits and that the program is very short of reaching its counseling targets.

Scenario 3: What did this team accomplish and why is it important? What might the team have done differently?

The NWF Community VCT Program staff works together to develop the Year 1 workplan. The program manager drafts activities. She wants to start small and scale up in Year 2. The activities include hiring all field officers responsible for supervising community programs and training the community counselors in 4 of the 20 districts the organization aims to reach over the 3-year period. She shares the draft with her staff. The HIV and AIDS technical officer notes that the field officers will also require training and that she has concerns about hiring all the field officers if community counselors in only four districts will be trained. The M&E officer notes that if they train community counselors in only four districts, they will not be able to achieve the Year 1 targets they proposed. The staff work together and revise the workplan agreeing to target 7 of the 20 districts in Year 1 in order to reach program targets. They also agree to hire only the field officers for those target districts in Year 1 and to provide training for both the field officers and community counselors.

Scenario 4: What did this team accomplish and why it is important? What might the team have done differently?

The NWF wants to improve the quality of its Community VCT program. At each of the community clinics, the organization works with the staff as a team to review their data on numbers of people counseled, to conduct observations of counseling to check quality, and to collect client feedback on clinic services. With the results, they recognize that they are not achieving client targets, that none of the staff meets all counseling standards, and that clients feel that the staff are not welcoming. The organization asks staff to come up with strategies for resolving the problems. The staff ask for counseling checklists and decide to do peer supervision. They change the day and time of community outreach activities to correspond with market days when more people are around, and they establish norms for greeting clients. After three months, they review their data, review the checklist results and conduct another client satisfaction survey. They find that their counseling performance against standards increased greatly and that clients say they feel more welcome at the clinic. However, there is little improvement in numbers of clients counseled. Even though not everything improved, the team is thrilled and the staff felt extremely proud.

Handout 7-4: Possible Responses for Team Building Scenarios

Scenario 1: What went wrong with this team, and what would you do to address the problem?

No clear objective

No clear leadership

No roles and responsibilities among the team

Set a clear objective and clearly identify a leader—a person responsible for leading the team. The team should have a clear idea of the tasks each member will carry out, and staff with the right knowledge and skills should be selected to participate on the team.

Scenario 2: What went wrong with this team, and what would you do to address the problem?

The team didn't stick to its strategy.

The team did not meet.

Leadership was not proactive enough.

Strengthen leadership. Make sure that the plan is being carried out and that staff members are carrying out their responsibilities.

Scenario 3: What did this team accomplish and why is it important? What might the team have done differently?

The team communicated well.

The plan was shared and discussed.

Other members had a chance to provide input, and changes were made.

The team might have worked together to draft the activities rather than having the program manager do this on her own.

Scenario 4: What did this team accomplish and why is it important?

The staff worked together with a clear goal.

Staff investigated and solved the problem together.

They used data to measure results.

Staff feel extremely motivated by this teamwork.

Handout 7-5: Conflict Case Study

An employee was absent from work for several weeks following this incident between her and another staff member.

She shared an office with another employee. She came to work one day to find her office mate had changed the seating arrangement and had moved her desk from its usual corner near the window. She asked him to move it back to its original place, but something in her tone offended him, and he responded in a way that offended her as well.

There was an expectation that they would work closely together to deliver a program jointly, but they were unable to do this after their disagreement. This was stressful for her and led to her absenteeism. She raised this with her supervisor when she was questioned about her absence.

Handout 8-1: Timesheet Exercise

Anthony is a project director and in the Donor A approved budget, his salary was estimated at 50 percent. His remaining time was to be covered by another project funded by Donor B with some time allocated to general business like proposal writing and registering the organization as an official NGO.

In December 2008, Anthony spent his days as listed below. Please take 3–5 minutes to record the hours on his timesheet.

- Day 1= 3 hours to Donor A
(Thurs) 4 hours to Donor B
1 New business development (proposal writing)
- Day 2= 2 hours to Donor A
(Fri) 7 hours to Donor B
- Day 3= 4 hours to Donor A
(Sat)
- Day 4= No work
(Sun)
- Day 5= Went to an amusement park with family
- Day 6= Stayed at home due to food poisoning from amusement park
- Day 7= 2 hours at doctor's appointment
4 hours to Donor B
2 hours to Donor A
- Day 8= 8 hours to Donor A
- Day 9= Labor Day Holiday

Handout 8-3: Sample Paid Time Off Tracking Worksheet

Employee: Angela Tembo
Start Date: 1-Dec-04
End Date: Employment Year: 2009

Holiday, Sickness, and Vacation Time (Hours Taken)

	Holiday	Sickness	Vacation
Jan	8	0	8
Feb	0	0	0
March	16	0	0
April	16	0	0
May	16	0	0
June			
July			
Aug			
Sept			
Oct			
Nov			

Summary of 2009

Days Carried Over 2008	0	20	19
Days Available 2009	13	10	24
Total Days Accrued	13	30	43
Days Taken	7	0	1
Leave Balance at year end	6	30	42

Carry Over/Commutation of 2009 Vacation Leave

Days Daily rate Amt paid out
 Balance at year end:
 Days to carry over:
 Days paid out:

*Holiday time must be taken within 3 months of the date the holiday was actually observed.
 Holidays are not carried forward from year to year.*

Project office holidays 2009:			On Date	Later Date
1	1/1/2010	New Years Day	x	
2	3/9/2009	International Women's Day	x	
3	3/12/2009	Youth Day	x	
4	4/10/2009	Good Friday	x	
5	4/13/2009	Easter Monday	x	
6	5/1/2009	Labor Day		x
7	5/25/2009	African Freedom Day	x	
8	7/6/2009	Heroes Day		
9	7/7/2009	Unity Day		
10	8/3/2009	Farmers' Day		
12	10/24/2009	Independence Day		

Handout 8-4: Sample Payroll Tracking Sheet

New World Foundation
 2009 PAYROLL EMPLOYEE TIMESHEET
 BREAKDOWNS*
 PAID TIME OFF AND PROJECT HOURS

*THIS DOCUMENT IS AN EXAMPLE DOCUMENT ONLY! IT PRESENTS ONLY ONE METHOD FOR MANAGING STAFF TIME OVER THE COURSE OF THE YEAR. Organizations may have other valid methods and should not change these methods if they work, based on this example.

Month	OH/01	SCA/02	Holiday	Sick	Vacation	Other	Dept 104	Dept 112	Dept 125	Dept 136	Dept 137	Dept 140	Dept 145	Dept 150	Dept 155	Total
January 2009																
Staff 1			8		8			32				94		34		176
Staff 2	12.5		16		10.5			64.5				0.5	14	58		176
Staff 3	48		8		8		112									176
Staff 4	73.5	2	8	4	19		1	6		3	28	8	14	7	2.5	176
February 2009																
Staff 1	1.5							130.5				13	1.5	13.5		160
Staff 2	10		8	27	8			52.5				3.5	19.5	31.5		160
Staff 3			8				152									160
Staff 4	91	2.5	8				0.5	8.5		1.5	27	2.5	17.5	0.5	0.5	160
March 2009																
Staff 1	42							75				38	11	10		176
Staff 2	40.5				16			58					21	40.5		176
Staff 3							176									176
Staff 4	40.5	1			16		0.5	9.5		2	8	0.5	97	0.5	0.5	176
April 2009																
Staff 1	3				72			7				23	69	2		176
Staff 2	24			7	32			48.5			0.5		20.5	43.5		176
Staff 3					40		136									176
Staff 4	107.5	9.5		14			1	5.5		1	21.5	4	8	2.5	1.5	176
May 2009																
Staff 1	15		8					52				36	55	2		168
Staff 2	26.5		8		1	19	2.5	58			0.5	0.5	21	31		168
Staff 3			8				160									168
Staff 4	65	4.5	8				1	28		2	27.5	4	0.5	27	0.5	168
December 2009																
Staff 1																0
Staff 2																0
Staff 3																0
Staff 4																0
Totals 2009																
Staff 1	62.5	0	16	4	80	0	0	335	0	0	0	247	146.5	128.5	12.5	1032
Staff 2	138.5	0	32	39	69.5	19	2.5	352.5	0	0	1.5	4.5	115.5	257.5	0	1032
Staff 3	48	0	24	0	104	0	856	0	0	0	0	0	0	0	0	1032
Staff 4	505	27.5	24	18	35	0	5	61.5	0.5	10.5	136	21	143.5	38.5	6	1032

check
 1032
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 1032
 1032

Handout 8-5: Timesheet Management Case Study

NWF records time in eight-hour days and has monthly pay periods. It allows employees to record more than eight hours on some days as long as they recover the time on other days and do not exceed the total maximum hours per month (8 X number of working days per month). It requires that all employees complete their timesheets daily, review and sign timesheets at the end of the month, and submit them to their supervisors for review and approval. Each new employee receives a copy of the timesheet policy and is asked to read it and tell the administrator if they have any questions.

Mary is a project assistant who has worked at NWF for two months. She is tasked with providing administrative support to the Community CVCTC Project and the Water and Sanitation Project. Mary completes her timesheet for the month of May.

In the first week of May, she worked on project support for both the Community CVCTC Project and the Water and Sanitation Project. She did a lot of photocopying for both projects that week which she considers general administration, so she puts the photocopying in that line.

On Friday, she is not feeling well and goes home early. The following week, she is down with malaria the whole week and cannot come to work. For the rest of the month, her time is entirely occupied with the CVCTC project. She records hours spent filing, copying, and doing invoices for that project under general administration because she thinks it should go there.

Mary submits her timesheet to her supervisor. Her supervisor finds several errors.

Can you find the errors in Mary's timesheet?

Why do you think she made these mistakes?

What could the organization do to reduce these errors?

Handout 9-1: Orienting Staff

The purpose of orientation is to assist a new employee to become familiar with the organization, with the work environment, and with his or her responsibilities. Orientation can make new staff feel welcome, feel like they are part of a team, begin to get grounded in the organization and begin to become engaged.

Orientation Objective	Desired Outcome
1. Decrease the new employee's anxiety.	I will be able to do this job; there are people to support me.
2. Create a positive impression of the organization.	This is a good place to work; I feel motivated by what the organization does.
3. Introduce the organization, its mission and goals, structure and basic functions to the new employee.	I have a basic understanding of this organization and of what it seeks to achieve and how it operates.
4. Provide an overview of the employee's role and responsibilities in the organization.	I understand what I am meant to do; my job is important in making the organization succeed.
5. Introduce the employee to the organization's resources.	I know what equipment, people and resources are available to me to get my job done and who to ask if I need help.
6. Foster relationships between the employee, other staff and other organizations, companies or institutions with which the employee will need to work.	I am familiar with the people who work here and the people I need to get to know and collaborate with to do my job effectively.
7. Identify the employee's training needs.	This organization wants to help me perform to my best abilities and to learn new skills.
8. Develop a plan for the probationary period.	I know what is expected of me and what I need to accomplish in the next X months.

Orientation may take place over several months. An orientation plan should be drawn up to schedule with whom the new staff member will meet and what will be covered so that each staff member knows when he/she needs to be available and what he/she is responsible for covering. It is also important to detail what orientation activities and topics will be covered over the following periods:

- The first day
- The first week
- The first month
- The probationary period

To provide comprehensive orientation, the new staff member will need to meet with a variety of staff and departments to discuss his or her responsibilities in the organization and to the program as well as any services and processes that he/she should be aware of to do the job well and function well.

Depending on the structure of your organization, the new staff member may want to meet with:

- Management
- Human resource manager and/or administrator
- Financial manager
- Program manager
- Direct supervisor

Orientation Checklist

Below is a checklist of issues that you will probably want to cover in orientation. This list should be reviewed and other relevant topics added or existing topics modified to best represent your organization and the needs of the new employee. An employee working in the finance department, for example, may need to cover more detail on financial matters.

1. Introduction to organization's mission and goals _____
2. Summary of the organization's history _____
3. Review of the organization's structure making sure to describe how the employee fits into the organization _____
4. Description of department or program in which the employee will work and how it fits into the organization _____
5. Tour of the office _____
6. Introductions to other staff members _____
7. Review of the employee's job responsibilities _____
8. Performance standards and expectations (may involve setting performance objectives for the probationary period) _____
9. Overview of the probationary period and expected date for a performance review _____
10. Review of the personnel manual (signature statement should be submitted after the employee has had time to carefully review it) _____
11. Working hours _____
12. Review of timesheets and timekeeping policies and procedures _____
13. Review of travel policies and procedures _____
14. Review of performance management _____
15. Discussion of the employee's business card information _____
16. Orientation for the employee on safety procedures (exits, fire extinguishers, after-hours procedures, etc.) _____
17. Overview of equipment and IT systems including the following:
 - Computers, printers, scanners and policies and procedures for their use _____
 - Computer software _____
 - Phones and phone procedures _____
 - Fax machines and procedures _____
 - Email (systems, IDs, passwords, use policies, etc.) _____
18. Review of policies and procedures on the following:
 - Vehicle use _____
 - Office supplies (stationary, printer ink, etc.) and procedures for requesting them _____
 - Salary payments _____
21. Review benefits policies and procedures
 - Expense reports _____
 - Advance requests _____
 - Use of funds for project activities _____
 - Communications including branding requirements and use of letterhead _____
19. Presentation of the style guide _____
20. Overview of the organization's website and other marketing materials _____
21. Review of the organization's reporting procedures _____

- 22. Program or departmental goals and objectives _____
- 23. Program or departmental staffing structure with particular attention to the new
employee's relationship to other staff members _____
- 24. Record keeping and reporting expectations, frameworks and guidance _____

Orientation Plan Framework

Period	Action	Person responsible	Desired outcome for period
Day 1			
Week 1			
Month 1			
Probationary Period			

Handout 9-2: Determining Training Needs Worksheet

This worksheet is intended to help you consider and record the knowledge and skills required for specific jobs. The results should be compared with the existing knowledge and skills of those who will be doing the jobs to identify gaps to be filled through training or other support.

Category of worker	Tasks	Required Knowledge	Required Skill
1			
2			
3			

Handout 9-3: Developing a Supervision Plan

Supervision is the process of reviewing with the worker the quality of work performed and the results achieved. The purpose of supervision is not to find fault; rather, it is to identify ways in which the worker can be helped and supported to improve his or her performance. Supervision is often one of the weakest points in many projects, yet good supervision can make the difference between a mediocre and an effective, dynamic program.

For community-based programs, there are two important principles in supervision:

To really understand how a worker is performing, a supervisor must visit the place/s of work and observe the activities. It is not sufficient to meet with a worker in the supervisor's office and to ask questions.

An NGO's program needs both to be accepted by and to be of benefit to the communities it serves. It is therefore essential that communities themselves are asked to actively participate in supervision to help to ensure that the program is responding to community needs and that the communities take ownership of activities.

When preparing for a new program, an NGO needs to devise a supervision plan. This plan must answer the following questions.

Who is going to do what?

When and how often are they going to do it?

How are they going to do it?

How and to whom are results to be reported?

Who is to be responsible for following up on issues identified?

What resources are needed to make supervision happen?

Supervision is very important, but it is frequently not as effective as it could be. It could be important for an NGO to consider whether its supervisors should receive training in how the organization expects them to do their jobs.

Adapted from: Huddart, J, Joyce Lyons and Donna Bjerregaard. 1999. Integrating Reproductive Health Into NGO Programs: Volume 2: Safer Motherhood for Communities. Initiatives Inc. Boston, MA.

Who is going to do what?	The NGO supervisor will 1. meet with each worker to review records and discuss progress and any problems. 2. visit each worker in the field, observe activities and provide feedback and advice. 3. meet with community representatives to discuss the program.
When are they going to do it?	The NGO supervisor will 1. meet with workers once a month (not in months when a field visit is made). 2. conduct field visits at least once every six months (depending on problems identified). 3. meet with the community every six months.
How are they going to do it?	1. In meetings with workers, <ul style="list-style-type: none"> • ask them to report on activities carried out and how successful they were (with examples). • discuss any problems they face and agree what can be done to resolve them and by whom. • agree on a plan of action. • provide feedback on the results of the program. • agree on a date for the next field visit (when appropriate) and on what the supervisor will observe/participate in. 2. On field visits, <ul style="list-style-type: none"> • meet with workers at agreed times and places. • observe the activities agreed on. • discuss their performance and offer advice/help where appropriate. 3. In meetings with community representatives, <ul style="list-style-type: none"> • review what community knows about the program. • ask what the community thinks about the program. • ask what the community thinks about the field workers. • ask what suggestions the community has for improving the program.
How and to whom are results to be reported?	Monthly written report to be submitted by the supervisor to the program manager and discussed together
Who is to be responsible for following up on issues identified?	Joint decision by the program manager and supervisor
What resources are needed to make supervision happen?	1. Transportation to all monthly meetings and field visits and per diem for the supervisor 2. Meeting checklist 3. Observation checklist for field visits 4. Community satisfaction questionnaire for community meetings

Adapted from: Huddart, J, Joyce Lyons and Donna Bjerregaard. 1999. Integrating Reproductive Health Into NGO Programs: Volume 2: Safer Motherhood for Communities. Initiatives Inc. Boston, MA.

Handout 9-4: Supervision Case Study

The New World Foundation knows it is going to hire and train 20 community counselors for its VCT program. The organization wants the quality of counseling to meet national standards. With 20 counselors, supervision is going to be a full-time job. A program supervisor is hired and is asked to develop a supervision plan and drafts the following.

CVCT Supervision Plan

<p>Responsibility and Activities</p> <p>The NGO supervisor will</p> <ol style="list-style-type: none">1. visit each worker in the field to review records and discuss progress and any problems, observe activities and provide feedback and advice.2. provide on-the-job mentoring or training as required.3. meet with community representatives to discuss the program.4. report on supervisory findings at monthly staff meetings so that the program manager and other program staff are kept up to date.5. submit written monthly supervision reports.
<p>Time Management</p> <ol style="list-style-type: none">1. Monthly visits to the field (10 days each month, one day per community VCT center)2. Meet with community members every six months3. Monthly reporting at meetings and in writing
<p>Activity Expectations</p> <ol style="list-style-type: none">1. In meetings with workers, meet them at agreed times and places. ask them to report on activities they've done and how successful they were (with examples). discuss any problems they faced and agree what can be done to resolve them and by whom. agree on a plan of action. provide feedback on the known results of the program. agree on the date of next field visit and on what you will observe/participate in. observe the activities agreed on. discuss their performance and offer advice/help where appropriate.2. In meetings with community representatives, review what the community knows about the program. ask what the community thinks about the program. ask what the community thinks about the community counselors. ask what suggestions the community has for improving the program.3. Report on indicators for each CVCTC against plans, discuss quality of service provided and record keeping, discuss issues or problems that need to be addressed, present a plan for how these issues or problems will be addressed, discuss community response to the program and any changes needed.

Reporting

Monthly written report to be submitted by the supervisor to the program manager and discussed together

Follow-up

The supervisor and the program manager are jointly responsible for following up on issues. The responsibility for following up specific issues will be assigned based on the nature of the issue.

Resources required

1. Transportation to all monthly supervisory visits, to biannual meetings with the community and to any additional capacity building visits and per diem for the supervisor.
2. Meeting guidance
3. Observation checklist for field visits to observe counseling and group information sessions
4. Community satisfaction questionnaire for community meetings

Program staff discussed the supervision plan at their first monthly staff meeting. The M&E officer thought the plan was good and talked about how he and the supervisor needed to work together to ensure that the supervisor was collecting the appropriate monitoring information in the field and sharing results with him. The administrator expressed concern about the logistics of so many supervisory visits. The project had only one car, and they had a lot of work to do. The staff agreed that these activities related to supervision should be coordinated with monitoring and evaluation activities to the greatest extent possible to avoid transportation problems. The program manager agreed and said that she would also make sure that funds were kept in reserve to cover car hire for days when competing activities were going on so that supervision or other activities would not be adversely affected by a lack of transportation.

The first supervisory visit

When the supervisor arrived for the first visit, she greeted the staff at the community VCT center warmly. She timed her visit for the afternoon when fewer clients came to the clinics. She asked the staff to sit with her for a few moments while she explained the purpose of her visit. She made sure to note that she was there to review their activities, help them with any problems they were facing and help ensure that they were able to provide the best service possible to the community. She also noted that she would observe a counseling session and that, following the counseling, she would sit with them and provide feedback. Then she asked the staff how things were going overall.

The staff said generally things were fine but that there were some problems. Clients tended to come in batches so they had rushes and lulls in service delivery. This made them feel pressured sometimes. They also complained that the doors on the counseling rooms didn't shut properly, and they thought clients waiting outside could hear the counseling sessions.

The supervisor took notes and listened. She asked the staff how they thought these problems might be addressed. The staff was unsure how to deal with the crunch of clients they sometimes got, but they felt a carpenter should be able to fix the doors so they shut properly. The supervisor agreed to hire a carpenter to fix the counseling room doors. She also reassured the counselors that providing quality counseling was NWF's top priority and that they should ensure that each client got the time he or she deserved. She suggested that when things got really busy, counselors should focus on

assisting clients while running batches of tests rather than having one counselor while the other did the test. The counselors liked this idea and said they would give it a try.

The supervisor then arranged to observe each counselor doing a session. After the counselor had spoken to the client privately and gotten permission for the supervisor to be in the room during counseling, the supervisor greeted the client and thanked her for letting her be in the room. She then sat and remained quiet for the rest of the session and let the counselor do her job. As the supervisor listened to the session, she completed the counseling checklist. She found that while the supervisor greeted the client warmly and covered most of the HIV information topics, she forgot to explain the window period, she didn't ask the client why she felt she might be at risk and what she might do to reduce her risk and she did not ask the client how she thought she might respond to her results (negative or positive).

When the counseling session was complete, the supervisor asked if she might say a few words, making sure not to criticize the counselor. The supervisor provided the additional information the client needed and initiated a discussion between the counselor and client about risk reduction and about how she would respond to results. After the client had left the room, the supervisor sat with the counselor to review her results. She began by praising the counselor for doing such a good job of making the client feel welcome and comfortable. She also noted that she covered the HIV information and prevention topics very well. Then the supervisor said, "There are a few things that you forgot to discuss that you will want to review and remember next time," and she went over what was missing with the counselor. The counselor acknowledged that she had forgotten some items and explained that sometimes it was hard to remember everything. The supervisor gave her a blank copy of the observation checklist and encouraged her to keep it near her during counseling sessions to help her remember to cover all topics. Then the supervisor made a note to consider developing a job aid to help counselors remember to cover all counseling topics.

At the end of the month, the supervisor compiled the results from all her visits. Of particular interest to her were the results of the counseling observations. She analyzed the observation checklists and noted which topics were routinely covered and which were frequently omitted. She used these results to develop her action plan in which she proposed that a simple counseling job aid be developed and that the counselors be invited for a one-day refresher course to review counseling topics, improve counseling skills and disseminate the job aid.

Handout 9-5: Guidance for Supervision Case Study

The group leader should invite participants to take turns reading through the case study. When they have finished, guide the participants at your table through the following questions.

What did NWF's supervision plan include?

- Roles and responsibilities: clear roles and responsibilities
- Time: how often supervision will be conducted
- Activities: what specifically will take place during supervision visits
- Reporting: how supervision will be documented and to whom it will be reported
- Follow-up plans: how needs will be followed up
- Resources: what materials, transportation and funds will be needed to make sure supervision happens

What worried staff and how did management address these concerns?

- Logistics: how were they going to organize resources to realize the plan

What tools did supervisors use to conduct supervision?

- A note pad
- A counseling checklist

What was the supervisor's attitude toward the staff she supervised?

- Respectful: of their time and the issues they raised
- Supportive: didn't interrupt the staff when counseling, undermine their authority, or dismiss their concerns
- Understanding: didn't criticize when staff complained that it was sometimes hard to understand all the counseling tasks; helped them come up with a solution
- Constructive: helped address problems or issues

How were the results used?

- Strategies to improve performance: a job aid and a refresher course

Handout 9-6: Facilitating Performance Appraisals

How to facilitate employee performance appraisal meetings

1. Welcome the employee.
2. Explain how the meeting will take place.
3. Invite the employee to share his/her self-evaluation.
4. Listen.
5. Congratulate employee on things done well or on things that he/she is proud of.
6. Share your evaluation of the employee stressing strengths first and then talking about improvements that can be made.
7. Be clear about strengths and problems.
8. Tell the employee you are there to support her/him and ask how you can help address any problems.
9. Work with the employee to develop the performance plan.

How to give feedback

The purpose of feedback is not simply to provide information—to tell the employee how s/he is doing—in addition, the purpose is to affect performance in the future.

Supervisors need to communicate job standards and other expectations to the employee so s/he can clearly understand what constitutes good performance.

Starting the conversation

Start by explaining the facts. Describe the problem in a friendly manner.

How you say things is important. Use a frank but supportive tone. An aggressive or angry tone will lead the employee to get upset and fail to hear your message.

Emphasize positive, constructive feedback, but be clear on points that need improvement.

Giving feedback

- Use simple language to clearly describe an observed incident or behavior.
- Be specific and give examples.
- Focus on the problem, not the person. Refer to actions that can be changed, not to personality traits.
- DO say: “I noticed several errors in the weekly report that you submitted.” DON’T say: “You are a sloppy worker.”
- Focus on actions, not intent. “Supervisors cannot prove that an employee is not trying. They can only prove that an employee is not succeeding.” (Jonathan A Segal, Society for Human Resources)
- Avoid the words “always” and “never.”
- Acknowledge people’s emotions. For example, “I see that you are unhappy.”
- Avoid becoming defensive if the employee does not agree with your feedback.
- Give positive as well as negative feedback. Let someone know when s/he has done a good job.

Listening

- Encourage the employee to talk.
- Listen carefully to what s/he has to say.
- Listen actively; don't think of your next question while s/he is talking.
- Read body language.
- Pause after the employee talks to think about what was said.
- Maintain eye contact.
- Have an open mind; withhold judgment.
- Repeat a comment or restate the response to make sure you understand what the employee is saying.
- You don't need to avoid disagreement, but don't let it get personal.

Close the meeting

- Focus on solutions rather than on defending positions.
- Involve the employee in developing solutions. If s/he comes up with a solution, try to use it.
- In all cases, show your interest in the employee's progress and your willingness to take up the discussion again.
- Decide on specific actions to take and discuss specific steps.
- Ensure there is mutual understanding even if there isn't agreement.

Handout 9-7: Setting Individual Performance Objectives

Definition: Performance objectives are the specific activities to be performed by the employee over a designated period of time. These are agreed to by the employee and the supervisor together and generally cover a 6–12 month period.

Individual Performance Objectives

Performance objectives are central to good supervision and also to performance appraisals.

They specify what the employee will do and serve as the basis for regular performance reviews.

The results of performance appraisals influence compensation decisions, promotions and other work assignments.

Performance objectives set agreed expectations for the employee's work and, by providing clear direction, can increase the employee's self-motivation and can enhance self-evaluations.

Effective performance objectives are developed from the employee's key responsibilities and are linked to the key result areas and objectives of the employee's department or program or of the organization as a whole. Effective performance objectives describe specific activities that the employee will do to meet his/her responsibilities in key results areas.

Collectively, the performance objectives of all the employees in an organization are the activities that need to be successfully achieved in order for the organization to meet its goals.

Types of Objectives

- | | |
|------------------------------|--|
| 1. Routine: | regular, ongoing activities |
| 2. Challenging: | activities designed to address specific problems |
| 3. Innovative: | activities that will create or expand activities |
| 4. Professional development: | activities that will enhance an individual's skills, knowledge or experience |

Individual performance objectives should be SMART.

Specific	Objectives must describe the activity exactly and clearly. They should clearly specify what is to be done, when it is to be done, who is to accomplish it, and how much is to be accomplished. Words that are open to a range of interpretations should be avoided, for example to know, to appreciate, to participate.
Measurable	The outcome of the objective is measurable (number of visits or information sessions, reduction of post-operative infections from X to Y).
Achievable	Objectives must be attainable by matching the level of complexity and difficulty with the employee's experience and capability. If they are too easy, the employee will be bored; if they are too difficult, the employee can lose confidence and not succeed.
Realistic	The objectives can be achieved within the time stated and with the resources available.
Time Bound	The objectives are set to be completed in a specified time period, usually six months to one year.

Strong objectives address:

1. WHO will do it.
2. WHAT specifically will be done.
3. WHEN will it be achieved.
4. CRITERIA that will be used to measure achievement.

Examples of Objectives

Key Result Area	Objective
Improve HIV and AIDS prevention awareness among community members in five districts	1. Conduct two HIV and AIDS prevention education sessions in the district per month covering all topics listed in the prevention education guidelines.
20,000 community members receive voluntary counseling and testing at community centers in five districts by the end of two years	<ol style="list-style-type: none"> 1. Provide high-quality counseling to at least 18 clients per week following the VCT guidelines to reach at least 624 clients during the year. 2. Maintain the clinic register book according to guidelines so that high-quality data on numbers of clients counseled pre-test, on tests done, on test results and on clients counseled post-test can be effectively tallied and reported monthly. 3. Compile and submit monthly reports with all required data to the M&E officer by the 15th of every month.

Handout 9-8: Role Play

The case of the difficult employee

Supervisor: You are the supervisor of a staff member who does not listen, who thinks he is always right and who resists other's recommendations. One of his performance objectives for the previous period was to develop and implement a plan for educating community members on the importance of clean water. When the objective was set, you noted that although he was responsible for developing and implementing the program, it had to be done in collaboration with his colleagues. The employee developed the plan without consulting his colleagues and the implementation was ineffective because fellow staff members were not clear about the plan or their roles in implementing it. The employee refuses to recognize any fault on his part and blames his colleagues for not carrying out the plan. Speak with this employee about his failure to realize the plan and how he can improve his performance in the future.

Employee: You have a lot of confidence in yourself and you are sure that your work is satisfactory. For your annual plan, you set an objective to develop and implement a plan for educating community members on the importance of clean water. You developed the plan, but you were not able to implement it. You blame your colleagues, believing that they did not want to participate in the implementation of the plan.

Appendix C: Slides

Human Resources Management Workshop

Slide 1.1

Overview

Day 3

- Timesheet Management
- Performance Management
- Compiling your Human Resource Action Plan and Deciding on the Next Steps

Slide 1.4

Overview

Day 1

- Welcome, Introductions and Overview
- Human Resources Management and an Organization's Strategy
- Managing Change
- Planning and Policy

Slide 1.2

Brief Introductions

- What does your organization do?
- How many staff does your organization employ?
- What are your expectations for this workshop?

Slide 1.5

Overview

Day 2

- Recruiting and Retaining Staff
- Establishing Salary Structures
- Staff Engagement and Team Building

Slide 1.3

Training Objectives

By the end of the workshop, participants should be able to:

1. Demonstrate knowledge of human resource (HR) concepts and principles for planning, staff recruitment, orientation and management
2. Strengthen HR management and support in their organizations
3. Apply change management strategies when introducing new HR methodologies
4. Define key performance management strategies and know how to apply staff performance management systems in their organizations
5. Assess and improve staff motivation and engagement
6. Present an action plan detailing the HRM practices and/or approaches for their organizations based on their specific needs.

Slide 1.6

Abbreviations

CHW – community health worker
CV – curriculum vitae (resume)
FTE – full-time equivalent
HR – human resources
HRM – human resources management
OCA – organizational capacity assessment
PA – performance appraisal
SOW – scope of work
SWOT – strengths, weaknesses, opportunities and threats
VCT – voluntary counseling and testing

Slide 1.7

HRM and an Organization's Strategy

Objectives

1. To explore the relationship between HRM and an organization's strategy and performance
2. To list key HRM elements
3. To develop an action plan for improving HRM and developing an organization's human resource strategy

Slide 2.2

Training Norms

Slide 1.8

Human Resources Management

- Too often, HRM is thought of merely as personnel management, i.e., basically policies and payroll.
- While personnel management is a key element of HRM, effective HRM intersects with and contributes to the broader issues of an organization's strategy, management and performance.

Slide 2.3

Human Resources Management Training

HRM and an Organization's Strategy

Slide 2.1

Human Resources Management

"...the effective management of an organization's human resources is a major source of competitive advantage and may even be the single most important determinant of an organization's performance over the long term."

(Sims, Ronald. 2002. *Organizational Success Through Effective Human Resources Management*).

Slide 2.4

Human Resources Management

Definition

HRM is the philosophy, strategic approach, principals, policies, procedures and practices related to the management of an organization's employees.

Slide 2.5

HRM Key Elements

- HR planning, job descriptions
- Recruitment, retention
- Salaries and benefits
- HR policies and how they conform to labor laws
- Time management
- Performance management
- Training and competency
- Motivation and commitment

Slide 2.8

Human Resources Management

- HRM systems and functions operate within the environment of an organization.
- That environment is influenced by a number of factors including:
 - The organization's culture, norms and values
 - The legal environment
 - The society and community in which the organization operates.

Slide 2.6

HRM Approaches

- Align employee's personal values to the values of the organization
- Create an environment that contributes to a sense of belonging
- Contribute and influence employee goals by developing a culture of growth and development

Slide 2.9

Human Resources Management

- The challenge for HR managers is to influence their resources so that they are continuously aligned to
 - The organization and its strategy
 - The community in which it functions
- It is important to remember that HR is about managing people and positively influencing behavior

Slide 2.7

HRM and Your Organization

Exercise: In small groups, review the copy of the organizational capacity assessment (OCA) outline included in your packet. The OCA breaks capacity down into seven sections one of which is HRM. Now look at the OCA outline and reflect on ways that human resources management is integral and important to each of the other sections and sub-headings.

- Governance
- Administration
- Financial Management
- Organizational Management
- Program Management
- Project Performance Management

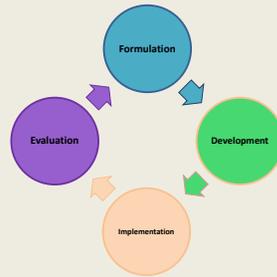
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HRM and Strategic Planning

Strategic Planning

Strategic planning positions an organization for the future. It includes analyses like SWOT (strengths, weaknesses, opportunities and threats) and the clear definition of an organization's mission, goals and objectives for a specified time in the future.

Strategic Planning Cycle



Slide 2.11

HRM and Strategic Planning

The details of HRM strategies to help organizations achieve strategic objectives may:

- Be explicitly noted in the strategic plan if HR is a central focus of a particular strategic objective.
- Be more clearly defined in an operational plan or HR plan that is developed to help implement the strategic plan over a fixed period of time.

Slide 2.14

HRM and Strategic Planning

- Effective strategic planning includes people or departments responsible for human resources management
- Effective HR plans address HR goals and expectations for the coming period as they relate to the organization's broader goals and objectives.

Slide 2.12

HRM and the Strategic Planning Cycle

HR should also be part of the strategic planning cycle:

- Formulate HR objectives
- Develop interventions or actions to achieve those objectives
- Set performance indicators to help you monitor implementation
- Implement the action
- Evaluate the actions: Have they helped us achieve our objectives? Has there really been a change?

Slide 2.15

HRM and Strategic Planning

HR issues that should be considered and addressed in strategic planning include:

- Changes in numbers and structure of HR needed to achieve the goals of the program and the organization
- Competencies needed to reach specific program goals
- How those competencies will be acquired:
 - Hiring new staff
 - Training or capacity building
 - Performance management
 - Modifying policy or procedures
- Systems required to manage human resources: developing and implementing policy, administration, compensation, management, etc.

Slide 2.13

HR Strategy Scenarios

- What HR questions might you ask in the following scenario if this were part of your organization's strategic plan?
- What strategies could you develop to help the organization attain its goal?

Slide 2.16

HR Strategy Scenarios

Scenario 1: The New World Foundation runs a small hospital and community health education program in rural Zambia. As part of its strategic plan, NWF wants to expand its community health education program to include an HIV and AIDS education program and mobile VCT clinic.

Slide 2.17

Action Planning

- Have you looked at your organization's strategic plan or program plans with HRM issues in mind?
- Were HR managers involved in the last strategic plan? Are they included in developing operational plans?
- How might you strengthen the involvement of HR managers in the strategic planning of your organization?

Slide 2.20

HR Strategy Scenarios

Scenario 2: The organization NOHIV, has an average staff retention rate of 1 year. The organization knows the turnover rate is high but isn't exactly sure why. As part of its strategic plan for 2009 to 2012, the organization wants to increase the average time staff work for the organization to 3 years.

Slide 2.18

Action Planning

Look at your action plan. It has 9 columns: □

- Current Status
- Desired Status (goal)
- Proposed Change
- Change Leader
- Action Steps for Implementing Change
- Communication Strategy
- Team Involvement
- Monitoring Strategy
- Performance Indicator

Slide 2.21

HR Strategy Scenarios

Scenario 3: The HIV Relief Organization has a strategic objective to ensure quality HIV and AIDS counseling for 30,000 people by 2012, the end of its strategic planning cycle.

Slide 2.19

Sample Action Plan

Current Status	Desired Status (goal)	Proposed Change	Change Leader	Action Steps for Implementing Change	Communication Strategy	Team Involvement	Monitoring Strategy	Performance Indicator	Timeline
No formal performance appraisal system	A performance appraisal policy and tools that is implemented on an annual basis	Establish a performance appraisal policy and tools	HR Manager	<ol style="list-style-type: none"> 1. Map out the supervisor structure 2. Develop the performance appraisal tools 3. Train staff to set performance goals and use the tools 4. Train supervisors to conduct performance appraisal meetings 5. Communicate performance appraisal events to prepare staff to set goals, set up meetings and conduct PA 	<ol style="list-style-type: none"> 1. Meet with staff to present the objective of the process and present ideas for moving forward 2. At monthly staff meetings report on development of process and tools 	<ol style="list-style-type: none"> 1. Put together an PA team to review policy, tools and PA process 	<ol style="list-style-type: none"> 1. Do monthly review of achievement of activities against plan. 2. Collect information on numbers of staff who have PA meeting set up with supervisor 2 weeks prior to PA review period 3. At end of PA review period review information on % of staff who had a Performance Assessment 4. Team review of sample performance objectives 1 per year to monitor the quality of objectives and decide on future training needs 	% of staff who have completed PA (to be assessed the month following the PA period)	1/31/10

Slide 2.22

Human Resources Management Training

Change Management

Slide 3.1

Change Management

Objectives

- To describe change management approaches
- To identify the steps in fostering acceptance of change
- To introduce ways to monitor the effects of change
- To outline strategies for maintaining positive change

Slide 3.4

Show of Hands

- Who has tried to stop eating sweets?
- Who has succeeded?

- Who has tried to get their kids to watch less TV?
- Who has succeeded?

- Who has mandated timesheets on time?
- Who has succeeded?

Slide 3.2

Change is Essential

It is not the *strongest* of the species that survive, nor the most intelligent, but the one most responsive to change



DODO-



Slide 3.5

What do we learn?

- Change is hard to introduce
- Change is hard to manage
- Change is hard to maintain

CHANGE IS INEVITABLE!



Slide 3.3

Reasons for Change

- External Factors
 - Government policies/priorities
 - Economic issues
 - Competition
 - Legal issues
 - Social pressures
 - Changing donor priorities
- Internal Factors
 - Strategic plan
 - New projects
 - Leadership changes
 - Staff changes
 - Dissatisfaction
 - Poor results
 - Policy change

Slide 3.6

Tracking Staff Movements

NWF has a heavy workload, active staff and one vehicle. The manager feels he is losing control over where staff are, how vehicle use is regulated and whether staff are planning their time efficiently. He puts up two white boards. On one he asked staff to put their weekly schedules. On the other, he asked staff to sign out vehicles with the time they left the office and their destinations. After two weeks, he found the boards empty and staff sullen.

Group One: Why did the staff resist?

Group Two: What should the manager have done differently?

Slide 3.7

Reacting to Change

- Describe a recent change at your organization.
- What reaction did staff have?

Slide 3.10

Report Out

Slide 3.8

The Approach is Critical

- No prior consultation
 - No rationale or vision
 - Forced
 - Crisis oriented
 - No acknowledgement of current responsibilities
- ➔
- Perceived loss of power
 - Resistance
 - Denial
 - Anger
 - Shock
 - Chaos

Slide 3.11



Slide 3.9

What is Change Management?

- Change is the **continuous adaptation** and modification of an organization's systems, strategies and structures **to changing conditions**.
- Change management is **planning**, initiating, implementing, controlling and **stabilizing change** for the organization and for its personnel.

Slide 3.12

Change Approaches

- **Initiated:** Management or staff-driven
- **Level:** Organization or individual
- **Scale:** Incremental or transformational, i.e., one department or the whole organization
- **Reason:** Planned or unplanned, reactive or proactive

Slide 3.13

Key Step 3

3. Change must be led.

- A trusted and capable leader brings a degree of comfort.
- A committee of diverse staff/management can facilitate ideas, trials and buy-in.
- Ensure continued communication between those responsible for change and the rest of the staff.

Slide 3.16

Managing the change process

-What must we get right?
-What are the questions YOU need to ask?



Slide 3.14



Slide 3.17

Key Steps 1 and 2

1. Develop the rationale.

- Describe the problem and how it was identified.
- Ensure there is common understanding and agreement from staff/management on the need for change.

2. Establish a vision.

- What will the future look like with the change?
- Paint a fair and realistic picture of how the organization and staff roles will change.
- Explain change has risks, there must be trials, but there is potential for improvement.

Slide 3.15

Key Step 3 Continued

- The leader must be committed to change.
- Understand and deal with the stages of acceptance: *
 - Refusal/denial –not me
 - Anger—why me
 - Bargaining—ok if I can have one wish
 - Depression—mourning for loss
 - Acceptance—achieving peace
- Show flexibility. Change does not happen on a schedule.
- Manage communication, information flow, learning and progress.

*Positive Strategies for Managing Change
Slide 3.18

Key Step 4

4. Communicate change.

- Create an open communication plan.
- Recognize people have emotions and work/personal needs.
 - Change is often associated with loss of a job, security and friends.
 - Changers often start with resistance and end with acceptance.
- The task is to communicate and plan to raise comfort levels.
 - Anticipate reactions and address concerns and expectations to reduce resistance.
- Help staff to understand why the change will be an improvement.

Slide 3.19

Never expect 100% support from any individual who was not personally involved in devising a change which had an impact on his/her work.

Slide 3.22

“Most people resist any change that doesn’t jingle in their pockets.”

Slide 3.20

Key Step 4 Continued

- Create a plan for involving as many people as early as possible. If a committee is formed, have them keep others up to date on learning, planning, decision making and implementation.
- Assist those not involved in the overall change to make meaningful decisions about their work units.
- Recognize success and support those who are not contributing to adopting the new practice.
- If appropriate, identify agents of change (early adapters) to model.
- Find the right moment to confront opponents before they affect the morale of everyone else.

Slide 3.23

Key Step 4 Continued

- Describe why change is needed and what changes are required.
- Ask for and accept reactions.
- Clear up any misunderstandings and acknowledge any objections.
- Discover the root cause of resistance.
- Acknowledge past successes.
- Ask for ideas on how to make it go smoothly.
- Ask for support and commitment.

Slide 3.21

Key Step 5

5. Create a plan.

- Develop/explain the plan.
- Include objectives, activities, milestones, timeframe.

Slide 3.24

Key Step 5 – Effective Change

- Preparation for change
- Involvement of staff
- Access to information
- Strong communication
- Commitment
- Stress reduced
- Change welcomed
- Sense of being valued
- Sense of mutual respect

Slide 3.25

Key Step 6 – Monitor

All improvement requires making changes, but not all changes result in improvement.

- **Set a goal.** What do you want to accomplish? Make it measurable.
- **Develop indicators or milestones.** Use indicators or milestones to measure if change is successful or if adaptations are needed.
- **Test the change.** Test it by reviewing the results and make adjustments as necessary.

Slide 3.28

Key Step 5 – Implementing

1. Review operations.
2. Define the problem/gap/improvement that needs to be addressed.
3. Create a committee or talk to staff about their views and possible solutions.
4. Keep everyone informed.
5. Design a strategy.
6. Decide how to implement it—slowly or all at once.
7. Set indicators or milestones to monitor progress.
8. Determine if revisions/adaptations are needed.

Slide 3.26

Key Step 7

7. Sustain momentum. Recognize the challenges.

- Provide resources, coaching and training.
- Recognize achievements.

Slide 3.29

Key Step 6

6. Monitor the plan.

- Create a process to review progress.
- Consider piloting the change in a department or clinic to learn from the effort.

Slide 3.27

Key Step 7 – Sustainability

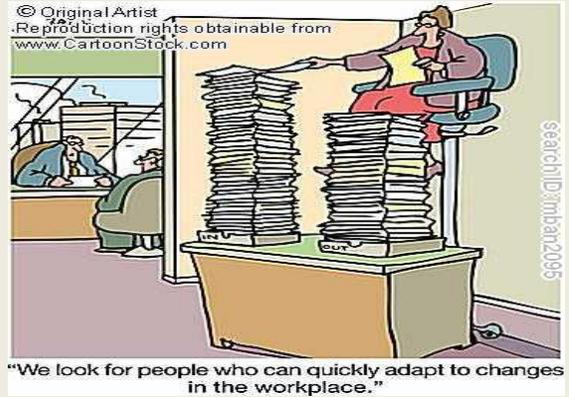
- Change is essential. How it is managed is critical for survival.
- Change is also a process, so allow time for reflection.
- Document what works and what doesn't.
- Institutionalize change. Make it part of daily working life.
- Allow staff time to catch up with changes.
 - Provide the training or resources necessary.
- Recognize achievements.

Slide 3.30

Build the Organization's Ability to Manage Change

- Improve knowledge management and information flow.
- Embrace innovation.
- Take risks.
- Build teams.
- Find ways to handle conflict.

Slide 3.31



Slide 3.34

Scenarios

Use the seven steps to develop a plan to address the following:

- **Manager:** Due to the economic crisis, we need to reduce our budget.
- **Supervisor:** According to donor requirements, we need to start doing performance appraisals.
- **Staff:** The vehicle is never available when I need it.
- **Client:** I have to wait an hour to see a doctor.

Slide 3.32

Action Plan

- Think through how your organization manages change keeping in mind what you have learned in this session.
- What could you do to improve your systems?
- Develop your action plan.

Slide 3.35

Summary of Key Steps in Managing Change

1. Develop the rationale.
2. Establish a vision.
3. Lead change.
4. Communicate change.
5. Create a plan.
6. Monitor the plan.
7. Sustain momentum.

Slide 3.33

Human Resources Management Training

Planning and Policy

Slide 4.1

Planning and Policy

Objectives:

1. To orient participants to the importance of HR planning
2. To discuss policy development and implementation in relation to HR planning
3. To provide tools and approaches for assessing staffing needs
4. To provide tools and examples for developing personnel policies
5. To develop actions plans to improve HR planning and policy development and/or implementation

Slide 4.2

Key Planning Issues

- Workforce required (numbers)
- Skills required
- Succession
- Employee retention
- Staff motivation and engagement
- Performance management
- Legal—policy development

Slide 4.5

Staffing Plans and Assessing Needs

Definition

HR planning and assessment refer to:

1. Identifying how staffing needs will be met.
2. Identifying what human resources are needed to carry out and achieve the organization's or program's activities and objectives

Key Planning and Assessment Approaches

Planning

- Strategic for HR
- Operational
- Proposals and project plans

Assessment

- Gap analysis (supply vs. need)
- Skills
- Time analysis
- Time-task analysis

Slide 4.3

Staffing Plans

A staffing plan defines the human resources required to successfully achieve an organization's implementation and contractual responsibilities.

- Outlines current staff positions and skills
- Illustrates gaps in staff coverage
- Outlines new services/programs requiring new or adjusted staff resources
- Offers timelines for adding or adjusting staff
- Has budget parameters for staff resources
- Is updated annually as part of planning

Slide 4.6

Where to Start: What Before Who

- Whether planning or assessing staffing needs, always start from clear objectives or a defined scope of work.
- You need to know what is to be done in order to determine who will do it.
 - Objectives may include strategic planning objectives or program objectives
 - Scope of work (SOW): Activities in a proposal, an operational plan, a workplan for a project or what a consultant is to do.

Slide 4.4

Assessing Staffing Needs

When to assess staffing needs:

- During strategic and operational planning
- When a new program is planned or proposed
- When outcomes or achievements fall short of a program's and/or organization's expectations
- When staff complain they are overworked

Slide 4.7

Assessing Staffing Needs

What to assess:

- **Skills required** to fulfill organization's objective, project's scope of work or job expectations
- **Time required** to complete the tasks (full- or part-time position?)
- **Staff required** for this position (new or can existing staff add tasks to their job descriptions?)
- **Internal or external** resources (hire staff or outsource?)

Slide 4.8

Time Required

- **FTE:** FTE stands for full-time equivalent. It means a staff member who works all the hours required in a full-time position. In some countries this is 40 hours a week or 220 days a year while in others it is 35 hours a week.
- Your organization should have policies that define full-time employment.
- How much time will a person need to work to fulfill the job requirements? 5 hours a week? 10 hours a week? 10 days a year? Think through the job tasks to determine how much time is needed.

Slide 4.11

Skills Required

- What skills does the person(s) need to meet the program's or the organization's objectives? Think about:
 - **Managerial skills.** Does the person need to oversee a program and project or project staff, a department or an activity?
 - **Administrative or financial management skills.** Does the person need to carry out or oversee administrative or financial management tasks such as transportation or operations, logistics or purchasing equipment?
 - **Technical skills:** Does the person need specific technical capabilities in HR, training, family planning, HIV and AIDS, disaster relief, statistical analysis or specific computer or technology skills (MS Access, MS Excel, SSPS, website management/design, mobile phone surveys, etc.)
- Review your existing staff. Do you have these skills in your organization already?

Slide 4.9

Estimating Time

Estimating time can be challenging. Try the following.

- **Interview.** Interview existing staff with the same or similar job descriptions to get a sense of how much time they spend per week on specific tasks.
- **Time-task analysis.** If staff are unsure of how much time they spend on a task, have them keep a record for a day or a week and use it to make an estimate.
- **Ask around.** Contact other organizations with similar positions and ask what it takes to do the job.
- **Analyze time sheets.** If the job is currently performed by a staff member and if the hours are reported on a timesheet, gather the information there. (If an administrator divides work among projects you can tell how much each project requires.)

Slide 4.12

Time Required



- Is the position full time or a part time?
- If it is a part-time position, how much time will it take (50%? 40%)

Slide 4.10

Which Staff

Can existing staff take on new responsibilities or are new staff required? Ask the following questions:

1. Are all staff members who are qualified to carry out the new tasks currently fully engaged?
2. Are any activities due to end in the next few months? Will staff responsible for them soon have time available?
3. Are new programs that demand similar skills scheduled to start soon? Will qualified staff be engaged in those activities?

Slide 4.13

Internal or External

Hire someone, use existing staff or contract out the work to another organization?

- Hiring has associated and long-term costs that your organization should be prepared to sustain.
- It is sometimes hard to find people for part-time positions.
- Some tasks require technical expertise only periodically or as needed (e.g., IT, contract review, payroll). These activities lend themselves well to outsourcing.

Slide 4.14

Personnel Policies

- Personnel policies are usually documented in an employee manual.
- Employee manuals should reflect the organization's culture, values and priorities while at the same time covering essential personnel topics and conforming to the law.
- USG agencies require awardees to have documented personnel policies and to manage human resources according to those policies.
- Compliance audits enforce personnel policies.
- HR policies must comply with the law whether national, state or other.

Slide 4.17

Brainstorming Staffing Analysis

- The New World Foundation wants to expand its work to include a community VCT program. To do this, they think they will need additional staff.
- What questions would you ask to understand what the staffing needs are?

Slide 4.15

Personnel Policies and Procedures

How do you define policies and procedures?

- A policy is a statement of principles, values, intent or guiding actions that establishes clear commitment by the organization and sets a basis for decision making and resource allocation.
- Procedures are specific steps taken to implement the policy.
 - Policies and procedures**
 - document the overall systems of rules and regulations to deal with personnel issues within the organization.
 - are unique to an organization.
 - can be borrowed and adapted.
 - must be clearly articulated to all current and incoming staff.
 - are usually outlined in an employee manual.

Slide 4.18

Staffing Assessment Case Study

Group Work

Slide 4.16

Important Policies and Procedures

Can you list some general policies?

- Work Schedule
- Hiring
- Compensation
- Benefits
- Performance Assessment
- Other, e.g., ethics, equal opportunity

Slide 4.19

Policy Feud

- Participants split into two groups.
- Each group has to list key policies that should be included in each of the six categories listed in the previous slide.
- Write your list. Each policy that matches a policy on our list gets two points; each additional valid policy gets two additional points.
- The team with the most points wins.
- You have 10 minutes, we suggest you divide into smaller groups.

Slide 4.20

Hiring Policies and Procedures

- Advertising open positions
- Reviewing applications
- Interviewing candidates
- Checking references
- Negotiating compensation
- Offering employment

Slide 4.23

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Policy Feud Scoring

Slide 4.21

Compensation Policies and Procedures

- Payday schedule
- Overtime and compensation pay
- Salary ranges
- Salary review policies
- Promotions
- Maintaining competitive salaries
- Timekeeping and reporting (including timesheets)

Slide 4.24

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Work Schedule Policies and Procedures

- Working hours
- Lunch periods
- Holidays
- Vacations
- Sick leave
- Personal leave
- Maternity/Paternity leave

Slide 4.22

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Benefits Policies and Procedures

- Eligibility
- Types of benefits
 - Medical or dental
 - Retirement plan
 - Life insurance
 - Housing
 - Transportation
 - Education

Slide 4.25

90

Performance Assessment Policies and Procedures

- Assessment cycle
- Assessment process
- Dealing with performance issues
- Discipline
- Separation or termination of employees
- Communication on performance

Slide 4.26

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Policy Review and Development

- The development or modification of HR policies may be a key strategy in refining HR systems and needs to be considered in planning.
- HR policies need to be reviewed to ensure alignment with strategic goals and objectives.
- Policies need to be useful and applied or they should not exist.

Slide 4.29

Other Important HR Policies and Procedures

- Employment grievances
- Financial expenditures or reporting
- Confidentiality
- Nondiscrimination
- HIV and AIDS
- Sexual harassment
- Security, emergency management
- Communication/media
- Use of personnel data

Slide 4.27

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Policy Implementation

- A plan and monitoring strategy for policy implementation can help HR managers and administrators identify staff roles and responsibilities, monitor progress, provide support and training and ensure that procedures are followed and policies enacted.
- Staff are responsible for implementing the policy.
- Training or orientation is usually required for staff to implement a policy effectively.
- Performance indicators for policy implementation can be valuable, for example, the percentage of performance appraisals conducted by the end of January.

Slide 4.30

Characteristics of Effective Policies and Procedures

- Clearly written in plain language
- Define the rights and responsibilities of all staff
- Relevant to the organization and staff
- Comply with national labor laws
- Organized together in a single document
- Consistently applied
- Well disseminated, signature statements

Slide 4.28

Policy Case Study

As part of its strategic planning, the New World Foundation has decided that it wants to improve worker motivation. Staff have expressed frustration with not being able to get personal tasks done, such as banking, because they are expected to be at work from 8:30AM to 5PM. Management has decided to allow employees to have greater flexibility with their time. They determined that the official working hours will remain, but employees are allowed to come in late or leave early one day a week as long as they notify their supervisors beforehand and make up the time another day. In addition, employees will be allowed to work 9-hour days Monday to Thursday and to take a half day on Friday as long as their supervisors are notified at least two weeks in advance that they will be doing so.

- Write a policy for the organization's working hours.
- List the procedures or documentation that would be needed to implement the policy effectively?

Slide 4.31

Action Planning

- Think through your organization's HR planning, policy development and implementation and HR assessment systems keeping in mind what you have learned in this session.
- What could you do to improve your planning, assessment and policies and/or implementation?
- Develop your action plan.

Slide 4.32

Recruiting and Retaining Staff

Definition

Recruiting is the process of identifying and hiring candidates (from within or outside the organization) in order to fill a vacant position.

Key Recruiting Elements

- Designing the job
- Describing the job
- Advertising the job
- Selecting candidates
 - Reviewing CVs
 - Interviewing candidates
 - Assessing skills
 - Checking references
- Making the offer
- Signing the contract

Slide 5.3

Human Resources Management Training

Recruiting and Retaining Staff

Slide 5.1

Designing the Job

Definition

Designing the job is putting together various elements to form a position within an organization taking into consideration basic factors such as resources, departments, strategies, etc.

Key Questions

1. Is the job really needed?
2. Should we outsource or hire from within?
3. Is this a full-time or a part-time position?
4. What function will the job serve? What gaps will it address?
5. What skills are needed for the position to be effectively done?
6. Are those skills likely to be found in a single individual (is it really one post or two)?
7. Can the current structure support the position and make it effective?
8. Does the job duplicate or conflict with other positions in the organization?
9. Will the job keep the employee motivated, interested and committed?

Slide 5.4

Recruiting and Retaining Staff

Objectives:

1. To review the structure and content of effective job descriptions, recruiting and hiring procedures, contracts and methods for ensuring transparency
2. To review methods for understanding local legal environments, obtaining advice from legal counsel and protecting the organization from legal disputes
3. To review approaches for monitoring and improving staff retention

Slide 5.2

Job Descriptions



Slide 5.5

Describing the Job

Definition

Concise, written statements that describe the duties, roles, responsibilities, skills and qualifications, important contributions and outcomes of a position

Key Elements of Job Descriptions

- Job title
- Location
- Terms of employment
- Purpose or objectives
- Team/department
- Responsible to
- Responsible for
- Qualifications
- Experience
- Skills, knowledge, attributes

Slide 5.6

Advertising the Job

Key Considerations

- Where will the job be advertised? Consider:
 - Places where appropriate candidates will see the advertisement
 - If/how personal networks should be used
 - Places where jobs must be advertised according to policy
 - Places where jobs must be advertised according to national law
 - How many places the job should be advertised
 - Don't forget to post internally as well if policy allows

Slide 5.9

Purpose of Job Descriptions

Job descriptions

- help organizations advertise positions and attract appropriate candidates.
- guide staff in their work by defining roles, responsibilities and key outcomes.
- assist staff and managers in developing individual performance objectives.
- facilitate performance appraisals.

Slide 5.7

Advertising the Job

Key Considerations

- How long will the job be advertised?
 - Know the national laws when advertising jobs. Some countries require a minimum number of days for postings.
 - You need enough time to get a decent pool of potential candidates but not so much time that you get too many applications to sort through.
 - Know the number of places you will post the advertisement.

Slide 5.10

Developing Job Descriptions

- Job descriptions need to be as clear and accurate as possible in order to attract appropriate candidates and to guide existing staff.
- Ensure that staff who will be working with the position either as supervisors, peers or supervisees are involved in developing the job description.
- Consider establishing a team to review and approve job descriptions.

Slide 5.8

Advertising the Job

Key Considerations

- What should the job advertisement contain?
 - Job title
 - Location
 - Who the organization is and what it does
 - Key responsibilities
 - Contact information for applications
 - Closing date for applications
 - Salary range (optional)

Slide 5.11

Selecting Candidates

Definition

Selection is identifying the best person for the job.

Key Steps

- Ensure fairness.
- Establish a panel or team.
- Review applications/CVs.
- Identify a number of candidates to interview.
- Interview the candidates.
- Give any skill tests required.

Slide 5.12

CV Review

Beware of

- applicants who move frequently from one job to another.
- applicants who have many writing errors in their CVs or cover letters (especially if the job requires good writing skills or attention to detail).
- degrees from unaccredited institutions (anyone can purchase a degree these days).

Slide 5.15

Fairness in Selection

Selection should be fair.

- Consider “blind” review of CVs (i.e., block names, birthdates, etc.)
- Have at least three people review the same CVs.
- Require that anyone related to or friends with a candidate recuse themselves.
- Consider a rating system for CVs.
- Standardize interview questions so all candidates are asked similar questions.

Slide 5.13

Interviews and Tests

- Develop a set of interview questions to be used with all candidates.
- Many organizations find it useful to have a guide to help their staff conduct effective interviews.
- In some environments and for some positions, it may be important to test skills.
 - For example, it is often easy to find a number of candidates with administrative experience and training in computers, but a test can tell you which candidate can execute the skills effectively.
 - One wouldn't hire a driver without first getting into the car with him or her to see how he/she drives.
 - If you need someone with good writing skills, you may want to ask for sample reports, grants or other writing samples.

Slide 5.16

CV Review

- Decide who will review CVs. It is a good idea to put together a recruiting team.
- Develop a CV review checklist or rating framework in which the qualifications and responsibilities for the job are noted so that reviewers remember to assess or score the candidates against the requirements.
- Sort applications into “no,” “maybe,” and “yes” piles; if a rating system is used, this may not be necessary as scores will determine the best candidates.
- Create a short list of 3-10 to invite for interviews.

Slide 5.14

Checking References

- Check professional references.
 - Prepare a set of questions.
 - Explain the position and its responsibilities to the person providing the reference.
 - Be sure to ask questions about the candidate's relationships with colleagues and ability to work on a team in addition to questions on technical skills and quality of work.
- Check salary history.

Slide 5.17

Making the Offer

- Be sure to identify the salary you will offer and the maximum you will settle on. Candidates may negotiate salary; you should know where you will draw the line (salary range).
- Tell the candidate you would like to make an offer and why you feel he/she would be a positive addition to your organization and what you think he/she might get out of working with the organization.
- Clearly present the conditions of work, i.e., expected hours, travel, availability, etc.
- Clearly present the salary and benefits that come with the job.

Slide 5.18

Key Elements of Recruiting Manuals

For each of the following, who, how, where and when should be defined:

- Developing and posting announcements
- Reviewing cover letters and resumes
- Conducting phone and in-person interviews
- Conducting reference checks
- Making an offer
- Removing announcements
- Creating personnel files

Slide 5.21

Signing an Agreement

- When the salary is agreed, provide the candidate with an employment agreement to be signed by him/her and the organization.
- Both the organization and the candidate should keep signed copies of the employment agreement.

Slide 5.19

Recruiting Exercise

- Review NWF's recruiting guidelines and plans and reflect on how they compare with your own.
- Does your organization have documented guidelines and clear procedures for recruiting staff?
- Take some time to start to outline what changes you might make to your own procedures to make them more comprehensive and to make sure they are documented and followed.

Slide 5.22

Recruiting Procedural Manuals

- Many organizations find it useful to have written recruiting procedures.
- Written procedures set standards for developing job descriptions, advertising posts, interviewing candidates and making offers.
- They state who should be involved.
- They should be designed to ensure fairness and transparency.

Slide 5.20

Ensuring Legal Compliance

- An organization's labor policies and procedures must comply, at a minimum, with national laws.
- Some organizations must comply with both the national laws of their headquarters and with local laws.
- Employment agreements that do not comply with local labor laws can result in huge costs of both time and money for legal disputes.
- Violating local labor laws can also put an organization in jeopardy of being forced to close.

Slide 5.23

Ensuring Legal Compliance

- Your organization should have an employment lawyer you can call on as needed.
- Have your lawyer review your personnel policies and payment and benefit practices to ensure they comply with local laws.
- Understand laws for laying off personnel and make sure your disciplinary and documentation systems are sufficient to cover your organization in a dispute with an employee. Don't wait until you have a dispute to do this.
- Make sure your documentation meets the requirements of the law.

Slide 5.24

Brainstorming

- What does your organization do to retain staff?
- Does it work?
- What is the average number of years employees work at your organization?
- Do you ever assess employee engagement?
- How and how often does your organization do this?

Slide 5.27

Retaining Staff

Definition

Staff retention refers to the policies, benefits, recognition and reward systems an organization uses to make staff feel valued and committed.

Key Elements

- Effective leadership
- Missions that drive
- Competitive salaries
- Staff recognition
- Performance-based awards or bonuses
- Positive relationships with colleagues (a good team environment)

Slide 5.25

What influences staff retention?

- **Salary.** Are you competitive? How do the salary and benefits of your organization compare with similar organizations?
- **Benefits and incentives:** Flexible hours, good health insurance, educational allowances, professional development opportunities, performance bonuses, commissions for obtaining funding, etc.
- **Working conditions:**
 - Access to necessary equipment
 - A pleasant working space
 - Time and environment to do work
 - Good relationships with colleagues
 - Motivated colleagues
 - Positive culture in the organization

Slide 5.28

Retaining Staff

- Staff turnover costs organizations in time, money and performance.
- Retention strategies should be proactive, not reactive.
- Some positions may be designed for high turnover; that can be alright. You have to balance what you need in terms of skills, education and experience with what you can offer in terms of salary and professional advancement.
- Consider assessing employee satisfaction to identify how you can improve your organization and better meet employees' needs and expectations.
- Do exit interviews to better understand why staff leave.

Slide 5.26

What influences staff retention?

- **Opportunities for growth or advancement:** Internal recruitment, professional development opportunities, encouragement from management to expand skills
- **Job security:** A contract and a stable organization with sufficient funds to function for the near future
- **Recognition:** Overt and/or public recognition of a job well done, objectives achieved or a successful program
- **A sense one is contributing to a real purpose – mission:** Recognized links between individual performance and the overall performance of the organization – achieving an organization's objectives or mission

Slide 5.29

Action Planning

- Think through your organization's recruiting, legal compliance and retention systems keeping in mind what you have learned today.
- What could you do to improve your systems?
- Develop your action plan.

Slide 5.30

Organization's Experience

- Do you have a salary structure?
- How did you develop it?
- How often do you update it?
- What are your biggest concerns about your salary scale?

Slide 6.3

Human Resources Management Training

Establishing a Salary Structure

Slide 6.1

Salary Grades and Ranges

Definitions

- Salary grades and ranges provide a framework for defining salaries for each personnel level.
- Grades define salary for each level of responsibility – officers, executive staff, admin staff, etc.
- Ranges define minimum and maximum salaries within each level of responsibility.
- Steps define salary increments within a range.

Management

- Salary grades and ranges should be assigned for each position
- There may be any number of grades and ranges, but usually there are 7 to 14.
- Salary ranges are adjusted as necessary.
- Salary ranges should be reviewed annually.

Slide 6.4

Establishing a Salary Structure

Objectives:

1. To review the key steps in determining salary scales
2. To learn lessons from partner organizations' experience with setting salary scales
3. To practice developing a salary scale
4. To develop an action plan for improving salary structures

Slide 6.2

Example

Grade	Range				
	←				→
7	5038	5794	6549	7305	8060
6	4198	4828	5458	6087	6717
5	3498	3935	4372	4810	5247
4	3042	3424	3806	4187	4569
3	2645	2976	3307	3637	3968
2	2300	2588	2875	3163	3450
1	2000	2250	2500	2750	3000

Slide 6.5

Why Establish a Salary Scale?

Salary scales

1. ensure fair compensation.
2. establish a competitive salary structure that attracts quality staff to your organization.
3. encourage staff retention and productivity.
4. communicate to staff the parameters for setting salaries.

Slide 6.6

Develop a Job Classification

Job classifications group positions according to skills required, responsibility, etc.

Steps

1. Review the job descriptions for all the positions in your organization.
2. Group positions that require similar training, experience, responsibility and degrees of skill.
3. Review your strategic plan to see if additional positions are anticipated then define (or estimate) the training, experience, responsibility and degrees of skill required for these future positions so they are represented in your classification.

Slide 6.9

Steps In Developing Salary Scales

1. Update key HR elements.
2. Develop a job classification.
3. Gather and analyze data.
4. Develop salary grades, ranges and steps.
5. Develop policies.

Slide 6.7

Gather and Analyze Data

Do a market analysis to determine how much similar organizations working in the same geographic area pay individuals in positions like those in your organization. This is often called "benchmarking."

Have you bench marked? What steps did you follow?

Steps

1. Select a variety positions in your organization that are common in others (drivers, receptionists, accountants, computer technicians, program managers, directors, etc.)

Slide 6.10

Update Key HR Elements

- Job descriptions need to be current and relevant to the job.
- A current organizational chart showing lines of authority and responsibility is needed.
- A list of positions and data on the numbers of staff of each kind is also useful.

Slide 6.8

Gather and Analyze Data

2. Determine how you will collect information.
 - Identify organizations similar to your own to contact.
 - They should do the same sort of general work, employ similar types of staff and work in a similar geographic area.
 - Data from five or more organizations is desirable.
 - Remember to ask for positions with similar responsibilities and skills rather than titles as different organizations may use titles that may or may not correspond to the ones in your organization.
 - Analyze local newspapers for similar job postings.
 - Contact umbrella organizations of local NGOs to see if they have any salary data.

Slide 6.11

Gather and Analyze Data

- Determine what information you will ask for—monthly salary, base salary or total cost (salary + benefits). If you ask for total cost, make sure the same benefits are included in all the salary information you collect.
- Set up a grid listing all the positions you are researching and the salary information you get for each position.
- Analyze the information to get an estimate for typical pay for each position. You can take the average or the median. If the salaries are quite diverse and wide ranging, the median is more useful.

Slide 6.12

Develop Salary Grades and Ranges

Steps

- Slot the job categories in your organization into the range.
- Review current staff positions and salaries to see how they fit.
What do you do if they don't fit?
 - If a current salary is below the lowest step in the range for the staff member's position, consider a pay adjustment.
 - If a current salary is higher than the highest step in the range for the grade the person's position is in:
 - Review the position to see if it belongs in a higher grade
 - If not, consider limiting or holding pay increases

Slide 6.15

Key Point

Salary grades and ranges are about POSITIONS not PEOPLE.

Slide 6.13

Example

Grade	Range				
7	5038	5794	6549	7305	8060
6	4198	4828	5458	6087	6717
5	3498	3935	4372	4810	5247
4	3042	3424	3806	4187	4569
3	2645	2976	3307	3637	3968
2	2300	2588	2875	3163	3450
1	2000	2250	2500	2750	3000

Slide 6.16

Develop Salary Grades and Ranges

Steps

- Determine the number steps in the range you will use (typically 7 to 12).
- Determine the "range spread," i.e., the difference between the lowest and highest steps in the range. Usually range spreads are lower for lower grades and higher for higher grades. They are typically between 50% and 60% but can be as low as 35% or as high as 80%.
- Use the average (or median) from the analysis to calculate the other salary steps in the range. Then calculate up from the lowest to get other grades. (The lowest of each grade is typically 15% to 20% above the grade below.) (See guidance and the exercise.)

Slide 6.14

Develop Policies

Develop policies for:

- Pay increases and promotions
- Cost of living adjustments
- How changes in salaries are to be calculated
- How changes in salary are to be communicated
- How often salary scales are to be reviewed and updated (every 1 to 2 years is recommended)

Slide 6.17

Exercise

Use the information provided in the worksheet to:

1. Calculate the salary ranges for each grade identified by the New World Foundation.
2. Slot the organization's current positions into the grid.

Slide 6.18

How do staff in your organization feel?



Slide 7.2

Action Plan

- Think through your organization's salary structure, keeping in mind what you have learned in this session.
- What could you do to improve your systems and policies?
- Develop your action plan.

Slide 6.19

Employee Engagement and Team Building

Objectives:

- To review the relationship between employee engagement and an organization's success
- To review elements that encourage engagement of staff
- To present methods for assessing employee engagement
- To discuss strategies for improving engagement
- To create an understanding of conflict and the sources and elements of conflict
- To discuss and apply approaches for managing or resolving tension and conflict
- To identify ways to prevent and manage stress
- To review teambuilding and discuss its importance and methods
- To develop an action plan to improve employee engagement and teamwork

Slide 7.3

Human Resources Management Training

Employee Engagement and Team Building

Slide 7.1

Engagement

What is engagement?

- "Employee engagement" is a term that encompasses motivation, but goes a step further.
- Motivation refers to the force or feelings that drive individuals to do their work and accomplish tasks.
- **Employee engagement** indicates that an employee is satisfied with his/her job, is driven to do the work and is committed to getting it done, doing it well and exerting the effort required to get results for the organization.

Slide 7.4

Why is Engagement Important

Why is employee engagement important for your organization?

Slide 7.5

Survey Highlight: Gallup's 12 Questions

1. Do you know what is expected of you at work?
2. Do you have the materials and equipment you need to do your work properly?
3. At work, do you have the opportunity to do your best every day?
4. In the last seven days, have you received recognition or praise for doing good work?

Slide 7.8

Are your staff engaged?

- On the flip chart, rate your organization's employee engagement overall (in gross terms)

Engagement: Interest in and dedication to the work, drive to do the work well and go the extra mile to get desired results for the organization

Measures: Very low, low, neutral, strong, very strong

- Why do you think the overall motivation and engagement of staff in your organization is what it is?

Slide 7.6

Survey Highlight: Gallup's 12 Questions

5. Does your supervisor or someone else at work seem to care about you as a person?
6. Is there someone at work who encourages your development?
7. At work, do your opinions seem to count?
8. Does the mission/purpose of your company make you feel your job is important?

Slide 7.9

How engaged are you?

- Results of the staff engagement survey (filled out by participants prior to this session)

Slide 7.7

Survey Highlight: Gallup's 12 Questions

9. Are your associates (fellow employees) committed to doing quality work?
10. Do you have a best friend at work?
11. In the last six months, has someone at work talked to you about your progress?
12. In the last year, have you had opportunities at work to learn and grow?

Slide 7.10

Are Your Staff Engaged?

- Using the colored dots provided, rate the engagement level of the staff in your organization.
- Why do you think engagement in your organization is at this level?

Slide 7.11

Factors that Engage

- **Intrinsic:** Refers to how the employee feels about the work itself. He/she feels the work is interesting and important, he/she feels a sense of responsibility, freedom to act, the possibility to develop skills and knowledge and opportunities to advance and grow.
- **Extrinsic:** Refers to what is done to or for personnel to drive them to do the work such as pay, financial incentives, recognition and reward, praise and promotion or punishment and disciplinary action.

Slide 7.14

What Engages?

- In your small groups, brainstorm a list of factors that you think are the most motivating. Arrange the list in order of most to least.
- Then make a list of factors most likely not to motivate staff.

Slide 7.12

Intrinsic Keys to Engagement

Don't underestimate the importance of intrinsic factors. It is often assumed that extrinsic factors, mainly pay, are the key motivators, but many studies show that most people are, in fact, motivated by intrinsic factors.

What are these key intrinsic factors?

1. **Participation in the big picture, i.e.,** a sense of how one's job contributes to the organization's mission and vision, goals and objectives and program goals

Slide 7.15

Report Out

Slide 7.13

Intrinsic Keys to Engagement

2. **Sense of direction:** a well designed job that serves a clear purpose in the organization, a clear job description, clear objectives
3. **Autonomy and freedom:** the ability to come up with ideas and make decisions (not necessarily alone) and to test things out
4. **Influence:** having a voice that is listened to and is part of decision making

Slide 7.16

Intrinsic Keys to Engagement

- 5. Relationships and team work:** positive, collaborative relationships with colleagues and supervisors; participating in teams that work toward unified goals and objectives
- 6. Challenges:** work that pushes one's abilities, generates learning and creates a sense of accomplishment
- 7. Advancement:** a sense that doing a good job may lead to new opportunities or positions within or beyond the organization

Slide 7.17

Engagement Scenario

The New World Foundation CEO sees employees coming late, disappearing during the day and leaving early. Worse, supervisory visits are not being done according to plan, and reports seem to be routinely late. The CEO feels that employee engagement and dedication to the organization isn't what it should be.

Imagine you're the NWF CEO and put together a plan for addressing this issue.

Slide 7.20

Extrinsic Keys to Engagement

What are some extrinsic factors?

- 1. Pay and benefits:** pay and benefits comparable to others doing the same job in the same industry or organization
- 2. Rewards:** financial or non-financial rewards or incentives for good performance (bonuses, time off, gift certificates), accomplishment or achievement
- 3. Recognition:** formal acknowledgement of a job well done or of an achievement

Slide 7.18

Report Out

Slide 7.21

Extrinsic Keys to Engagement

- 4. Promotion:** the possibility to advance into a higher pay range or position within the organization; links pay increases to performance appraisals
- 5. Equitability:** consistent and equitable application of personnel policies, compensation and support.

Slide 7.19

Assessing Engagement

- There are a number of resources for staff motivation and engagement surveys.
- Tips for picking surveys
 - Pick a survey that is short and direct.
 - Modify the survey to address the questions you want to know the answers to.
 - Don't include questions if you will not use the information (know why you are asking certain questions and what you plan to do with the information).
 - Before initiating a survey, be sure you are committed to making changes. Surveys that don't lead to change frustrate staff.

Slide 7.22

Making Meaningful Change

- Effective leadership is key to all elements of employee engagement.
- To truly have an engaged workforce, leadership needs to be open to:
 - Change
 - Employee needs and aspirations
 - Communicating
 - Teamwork
 - Participatory decision making
 - Supporting staff to succeed

Slide 7.23

Teams

1. Why is teamwork important to your organization?



Slide 7.26

Teamwork and Engagement

- The feeling of being part of a team that is working toward a clear goal is a critical element in building and maintaining employee engagement.

Slide 7.24

Teams

- Teams may operate at multiple levels. They may represent the organization working together to achieve strategic objectives, or they may be smaller units working on specific programs, service delivery or a specific problem.
- May be short term or long term

Slide 7.27

Teamwork

Team Activity: The tallest tower

Debriefing

Slide 7.25

Characteristics of Strong Teams

- A common name or identity
- Shared mission or concern
- Shared goals and objectives
- A clear structure with defined leadership, roles and responsibilities and norms
- A strategy to achieve goals and objectives
- Shared information
- Someone responsible for leading (even if in an inclusive way)
- Ground rules or norms for decision making, communication, managing meetings and resolving conflicts
- Resources (material or financial) to realize objectives
- Acknowledgment of objectives achieved or milestones passed.

Slide 7.28

Teams: What we can learn from geese?



Slide 7.29

Stages of Team Development

- 3. Organization and stabilization.** With negotiations among individuals and small groups, the team begins to have a clearer structure, and conflicts are resolved. Norms are established; leadership is defined. Expected outcomes and processes for achieving goals are defined. A team agreement or charter exists.
- 4. Production.** Team is organized and focused on implementing agreed strategies to achieve common goals and the agreed mission. Members take on their tasks with the aim of serving the team.

Slide 7.32

Why are Teams Useful?

- Teams are often able to accomplish tasks more effectively and efficiently than individuals.
- Teams improve cohesiveness among staff and can improve the work environment.
- Team work motivates staff by improving relationships and making them feel more productive.
- Teams generate opportunities for staff to learn from each other.
- Team work can build staff commitment to the organization and to its goals and objectives.
- Team work is motivating.

Slide 7.30

Team Building

How do you define team building?

- Team building is, simply put, the process of strengthening the capacity of teams to effectively work toward and achieve their goals.
- Team building may include:
 - Building the capacity of teams to develop clear goals, objectives and strategies
 - Improving team communication and decision making
 - Helping leaders work with staff to assemble more effective teams with the right skills and defined roles and responsibilities
 - Improving a team's ability to manage conflict or solve problems

Slide 7.33

Stages of Team Development

- 1. Observation.** Members act independently. Information flow is limited. Individuals try to position themselves in relation to the others. The focus is on achieving personal objectives rather than achieving team objectives.
- 2. Chaos.** Alliances are formed and power struggles are common. Individuals try to impose own perspectives on the group. Conflict is common.

Slide 7.31

Team Building Scenarios

What went wrong with this team and what would you do to address the problem?

The New World Foundation CEO wants to expand the number of programs the organization supports. He calls in the organization's two project managers and tells them to lead an effort to expand programs. The program managers call the program staff together and tell them that the CEO wants to expand programs. They ask for ideas. The staff provide a number of ideas, but they remain on a list and are never followed up. The CEO doesn't check back with them. At the strategic planning meeting a year later the CEO says, "I remember last year we talked about expanding programs, but nothing seemed to come of that."

Slide 7.34

Team Building Scenarios

What went wrong with this team and what might you do to address the problem?

The New World Foundation community VCT program manager brings her staff together to form a team to implement the program. The team includes the program manager, the admin assistant for the program, the HIV technical advisor, the M&E officer and the two field officers. The team sets clear objectives, norms for the frequency and structure of meetings and defines the program's objectives and their roles and responsibilities. Everyone gets busy; staff are frequently out in the field, and meetings get pushed back. The program manager feels everything is going well and people are busy, so she doesn't worry. The donor wants to visit program sites. As the program manager prepares for the visit, she learns that half the sites have not received supervisory visits and that the program is very short of reaching its counseling targets.

Slide 7.35

Understanding Conflict

- Conflict is a clash of interests, values, actions, views or directions.
- Conflict is inevitable and develops because we are dealing with people's lives/children/jobs.
- Conflict occurs when individuals are not obtaining what they need or want and are pursuing their own interests.
- Conflict ranges from a small disagreement to war between countries.

Slide 7.38

Team Building Scenarios

What did this team accomplish and why is it important? What might the team have done differently?

The NWF Community VCT program staff work together to develop the Year 1 workplan. The program manager drafts activities. She wants to start small and scale up in Year 2. The activities include hiring all field officers who will supervise community programs and training for the community counselors in 4 of the 20 districts the organization aims to reach over the 3-year period. She shares the draft with her staff. The HIV and AIDS technical officer notes that the field officers will also require training and that she has concerns about hiring all the field officers if community counselors in only 4 districts will be trained. The M&E officer notes that if they train community counselors in only 4 districts, they will not be able to achieve the Year 1 targets they proposed. The staff work together and revise the workplan agreeing to target 7 of the 20 districts in Year 1 in order to reach program targets. They also agree to hire only the field officers for those target districts in Year 1 and to provide training for both the field officers and community counselors.

Slide 7.36

Causes of Conflict

- Poor communication
- Lack of resources creating stress and competition
- Challenges in interpersonal relationships
- Poor/weak leadership that avoids conflict, does not resolve workplace issues and supervisors who don't understand the jobs of their subordinates
- Seeking power/authority/recognition
- Changes in leadership

Slide 7.39

Team Building Scenarios

What did this team accomplish, and why is it important?

The NWF wants to improve the quality of its community VCT program. At each of the community clinics, the organization works with the staff as a team to review their data on numbers of people counseled, to conduct observations of counseling to check quality and to collect client feedback on clinic services. With the results, they recognize that they are not achieving client targets, none of the staff meets all counseling standards and clients feel that the staff are not welcoming. The organization asks staff to come up with strategies for resolving these problems. The staff ask for counseling checklists and decide to do peer supervision. They change the day and time of community outreach activities to correspond with market days when more people are around, and they establish norms for greeting clients. After three months, they review their data, review the checklist results and conduct another client satisfaction survey. They find that their counseling performance against standards increased greatly and that clients say they feel more welcome at the clinic. There is little improvement in numbers of clients counseled, however. Even though not everything improved, the team is thrilled and the staff feel extremely proud.

Slide 7.37

Signs and Symptoms

- Body language
- Disagreements, regardless of issue
- Withholding information whether good or bad
- Strong public statements
- Airing disagreements through media
- Open disagreement
- No discussion of progress, failure to accomplish goals
- Desire for power
- Increasing lack of respect

Slide 7.40

Benefits of Conflict

- Diffusion of more serious conflicts
- Clarification of issues
- Motivation for a healthy change
- Increased group cohesion and performance
- Solutions for problems
- Increased cooperation and better understanding and communication

Slide 7.41

Conflict Management Steps

1. Clarify the conflict.
 - What is the conflict about ?
 - What are the issues involved in the conflict?
 - Who are the people involved in the conflict?
 - When did the conflict arise?
 - Is the conflict real or exaggerated?
 - How important is it to solve the conflict?
 - What would happen if the conflict is not resolved?

Slide 7.44

Costs of Conflict

- Impediment to smooth working/impairs teamwork
- Diminished output and performance
- Delays decision making
- Diverts attention from other important activities
- Leads to irresponsible and irrational behavior
- Creates stress

Slide 7.42

Steps Continued

2. Interview the parties involved. “What’s your side of the story?”
 - Take time to formally gather information from those involved.
 - Remember to keep emotions calm and focus on the issues.
 - What do the parties involved want to see happen?
 - What is best for the organization?
 - Summarize these findings in a detailed report.

Slide 7.45

Conflict Management Styles

1. Collaborative/cooperative problem solving
2. Competing
3. Compromising
4. Accommodating
5. Avoiding

Slide 7.43

Steps Continued

3. Identify the solutions. “What are the alternatives?”
 - Identify several possible solutions to the problem.
 - Come up with ways to implement the solutions.
 - What are the outcomes of each solution?
 - Resolve the conflict collaboratively rather than as adversaries.
 - Narrow the solutions and identify the top priority.

Slide 7.46

Steps Continued

4. Select the appropriate solution.

- Determine the best solutions for all involved.
- Allow parties to examine the top solutions.
- Educate the parties and get them to agree to participate in the solution.
- Identify roles and responsibilities.
- Bring the parties together and jointly agree upon their own solution.
- The parties commit and set a date for review.

Slide 7.47

What is stress?

- Your mind's and body's response or reaction to a real or imagined threat, event or change or any physical or mental demand.
- Any type of change that causes physical, emotional or psychological strain.
- Our response to any situation we find challenging, frightening or difficult.

Slide 7.50

Steps Continued

5. Follow through and evaluate the solution.

“How did the process and the resolution work?”

- Document all that transpired in the process and file it.
- Have a follow-up meeting with all involved to touch base and make certain the conflict has been resolved.
- Celebrate and let the parties know that they have collaboratively worked through a problem.

Slide 7.48

Types of Stress

1. EUSTRESS

The type of stress that is fun and exciting and keeps us vital. It occurs when your level of stress is high enough to motivate you to move into action to get things accomplished.

2. DISTRESS

Distress or negative stress occurs when your level of stress is either too high or too low and your body and/or mind begin to respond negatively to the stressors.

Slide 7.51

Case Study

A Conflict Between Co-Workers

An employee was absent from work for several weeks following this incident between her and another staff member.

She shares an office with another employee. One day she came to work to find that her office mate had changed the seating arrangement and had moved her desk from its usual corner near the window. She asked him to move it back to its original place, but something in her tone offended him and he responded in a way that offended her as well.

There was an expectation that they would work closely together to deliver a program jointly, but they were unable to do this after their disagreement. This was stressful for her and led to her absenteeism. She raised this with her supervisor when she was questioned about her absence.

1. Identify the issues in this case scenario.
2. Identify the best approach to resolve this conflict and act it out.

Slide 7.49

Levels of Stress

•Acute stress

A very short-term type of stress that can either be positive or negative/more distressing. *Our bodies are built to respond to this type of stress.*

•Chronic stress

The type of stress that seems never ending and inescapable, like the stress of a bad marriage or an extremely taxing job. *This type of stress can lead to burnout.*

Slide 7.52

Signs of Stress at Work

- Lateness or working long hours
- Reduction in performance or inability to perform
- Lack of concentration
- Rudeness and short temper
- Social withdrawal

Slide 7.53

How to Manage Stress

1. Recognize the warning signs of stress.
2. Take care of yourself.
3. Maintain the right attitude.
4. Build confidence.
5. Prioritize and organize.
6. Develop emotional intelligence and self-awareness.

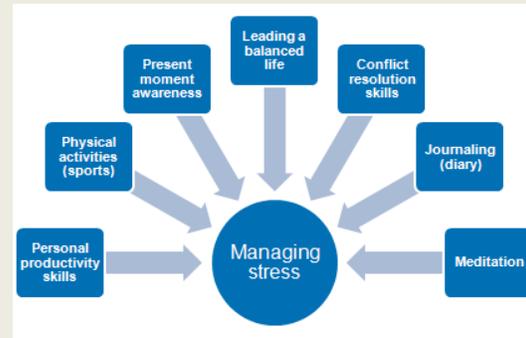
Slide 7.56

Causes of Stress at Work

- Tight deadlines
- Fear of being laid off
- More overtime due to staff cutbacks
- Pressure to perform to meet rising expectations, but with no increase in job satisfaction
- Pressure to work at optimal levels all the time
- Difficulties with colleagues

Slide 7.54

Managing Stress as an Individual



Slide 7.57

Effects of Stress

- Reduced productivity
- Social withdrawal
- Defensive behavior
- Sleep problems
- Increased use of OTC drugs, tobacco, alcohol
- Health problems – HBP, ulcers, headaches
- Anxiety attacks
- Death
- Loss of employment/staff turnover

Slide 7.55

What an Organization Can Do

- Create a conducive working environment.
- Maintain effective planning and time management systems.
- Develop guidelines for preventing and managing stress in the workplace.
- Involve staff in decision making.
- Develop clear systems for recruiting and managing performance and clear job descriptions.
- Encourage a healthy work-life balance.
- Train managers and staff in stress management.

Slide 7.58

What Managers Can Do

- Act as positive role models when stress is high and remain calm.
- Value employees.
- Provide clear communication and constructive feedback.
- Be aware of your leadership style.
- Show your appreciation for the team.

Slide 7.59

Timesheet Management

Objectives:

1. To review timesheets and timesheet contents
2. To discuss methods for recording and accounting for time
3. To discuss steps in reviewing timesheets
4. To develop an action plan for improving timesheets and employee time management

Slide 8.2

Action Planning

- Think through your organization's motivation, engagement, teamwork and experiences with stress and conflict, keeping in mind what you have learned in this session.
- What could you do to improve your systems?
- Develop your action plan.

Slide 7.60

What's Your Timesheet Like?

What kind of timekeeping system do you have?

- Electronic software
- Other timesheets filled electronically
- Time sheets filled manually

How is your organization using your timesheets?

What issues or problems are you having with timesheets?

Slide 8.3

Human Resources Management Training

Timesheet Management

Slide 8.1

Timesheets and Compliance

The US government and other donors require organizations receiving funds to maintain timesheets.

To be compliant,

- timekeeping policies must be in place defining who must complete a timesheet and how often (minimum daily).
- policies must indicate how time is to be accounted for, i.e., time spent on projects, overhead time, paid time off, etc.
- policies must indicate how timesheets are to be reviewed, approved, updated and filed.
- Overtime must be defined as only a few categories of staff are eligible for overtime pay.

Slide 8.4

Timesheets Contents

What do timesheets need to include?

1. Organization's name
2. Staff member's name
3. Month or period for which time is recorded (should match the pay period)
4. Project names and codes and general administration codes
5. Days in the month
6. Paid time off (holiday, sick leave, vacation)
7. Certification statement and signature of employee and employer

Review a sample timesheet

Slide 8.5

Timesheets and Compliance

- They should be completed and signed at the end of each time period (at least monthly).
- If an error is made, cross it out and initial it with a reason for the change. (NO WHITE OUT!)
- They should be certified by the employee and the supervisor.
- Original signed timesheets should be filed for audits.

Slide 8.8

Timesheets

Who completes timesheets?

- All full- or part-time staff
- Consultants
- Any volunteers paid by your organization

Timesheets and cost share

- If you are billing staff, volunteer or consultant time to a project or including staff, volunteer or consultants as cost share, then timesheets are required to document and cost personnel time.

Slide 8.6

Timesheet Use

Timesheets are used for:

1. Documenting staff work time for payrolls
2. Billing staff time to projects
3. Managing and monitoring paid time off
4. Assessing staff time and project requirements
 - Is staff time exceeding/falling short of project budget limits?
 - Is more or less staff time required for a project than expected?
 - Which staff are billing what hours to the project?

Slide 8.9

Timesheets and Compliance

- A timesheet cannot be modified without approval.
- It should reflect time worked, not time budgeted.
- It should account for all activity including work, paid time off, etc.

Slide 8.7

Timesheet Competence

- **General staff** should be trained to complete timesheets.
- **Supervisors and administrators** need to be trained to review timesheets, check for errors and to provide guidance to staff on how to correctly complete timesheets.
- **Administrators and financial managers** need to be trained to review timesheets for errors; to collect, enter and analyze data from timesheets and to use timesheet data for billing.
- **Program managers** should be trained to review timesheet data against plans and HR expectations.

Slide 8.10

Recording Time

There are two main methods of timekeeping:

1. The 8-hour (full-time) day
2. Total time management

Slide 8.11

Timesheet Review

Your organization should have a clear process for reviewing timesheets.

- Who are timesheets submitted to first— an administrator or a supervisor?
- Is someone designated to check the math?
- When are timesheets to be signed by the supervisor?
- Where are timesheets submitted after review?
- Who collects and enters data from timesheets and what is collected?
- Where are timesheets filed?

Slide 8.14

Recording Time

8 hour (full-time) day

- Staff record 8 hours a day or hours up to full time in the week or pay period, but no more.
- Time recorded in a month should not exceed full-time hours.

Pros and Cons

- It's simple to manage and auditors and USG agencies like it.
- Staff sometimes have difficulty summarizing all hours into 8.
- It may not capture all the time the staff worked.

Total time management

- Staff record all hours worked.
- Payroll is based on apportioning total hours into an 8 hour day.

Pros and Cons

- It provides better HRM data.
- It's challenging to manage and needs to be carefully assessed to ensure compliance.
- The extra time recorded could open the organization to labor disputes or lawsuits in some countries.

Slide 8.12

Timesheet Review

When timesheets are submitted, they need to be checked for

1. hours recorded against the correct project or category.
2. paid time off recorded (holiday, sick leave, vacation).
3. accurate total of hours worked (this is particularly important with hand-written timesheets).
4. the supervisor's signature.

Slide 8.15

Timesheet Exercises

Slide 8.13

Timesheet Management

- Enter data on timesheets on a monthly basis.
- Use data to track
 - the total time billed to projects.
 - individual staff time spent on projects or departments.
 - holiday, sick leave and vacation time.
 - staff time management.

Slide 8.16

Timesheet Management Case Study

In order to comply with donor regulations, the New World Foundation asked staff to complete timesheets. Mary completes her timesheet for the month of May. Review Mary's timesheet and the description of her work; make a list of any errors or questions you have.

- Why do you think Mary made these errors?
- What could NWF do to improve the quality of time keeping and keep the organization out of trouble with auditors?

Slide 8.17

Performance Management

Objectives:

1. To define staff performance management and the systems that contribute to performance management
2. To discuss staff orientation
3. To present methods for developing staff skills
4. To orient participants to the structure and content of supervision plans
5. To present tools and methods for staff performance appraisals
6. To strengthen performance management

Slide 9.2

Action Plan

- Think through how your organization keeps time and manages timesheets keeping in mind what you have learned today.
- What could you do to improve your systems?
- Develop your action plan.

Slide 8.18

Performance Management

Definition

Performance management is the process of creating a work environment and implementing management and support systems that enable individuals to perform to best of their abilities.

The Performance Management Chain



Slide 9.3

Human Resources Management Training

Performance Management

Slide 9.1

Staff Orientation

Get staff off to the right start. Orient them to their jobs.

- What is staff orientation?
- What does your organization do to orient new staff members to their jobs?
- Do you have written orientation guidelines?
- How long does orientation typically take in your organization?

Slide 9.4

Staff Orientation

Definition

Staff orientation is the process of introducing new staff to the organization; its mission, policies and practices; their work roles and responsibilities; the work environment and their colleagues.

Key Elements of Orientation

- Welcome employees
- Communicate organization's policy and procedures
- Review job roles and responsibilities
- Introduce new staff members to their colleagues/team members
- Set the foundation for future communication
- Introduce new staff members to their work environment and resources
- Assist staff in the initial planning and execution of job tasks

Slide 9.5

Developing Staff Skills

- **Job aides:** posters, pocket guides, checklists
- **Mentoring:** formally linking a staff member to a more experienced or skilled staff member to transfer knowledge and skills
- **On-the-job training:** learning and executing new skills with the support of a trainer, supervisor or mentor while serving clients
- **Training, workshops or certification programs**

Slide 9.8

Staff Orientation

- **Plan:** Documented orientation guidelines help organizations standardize orientation ensuring that all new staff get the same essential information and support.
- **Extend:** Effective orientation is done in phases over a period of months.
- **Assess:** Ask the employee if needed support is being provided. Be willing to adjust your orientation as necessary.

Slide 9.6

Training

- Training may be off site, on site or on the job
- Effective training should
 - be relevant to the employee's needs.
 - have clear learning objectives.
 - apply adult learning methodologies.
- Training needs may be identified through a formal needs assessment, through performance reviews or through routine supervision.

Slide 9.9

Orientation Checklist Review

- In your small groups, review the orientation checklist.
- Check off what your organization does.
- Share with others in your group how you approach each of the different items you checked.
- Listening to others, note what you might want to consider integrating into your organization's approach; revisit it during action planning.

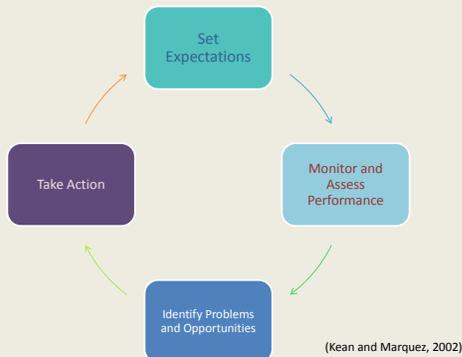
Slide 9.7

Exercises for Assessing Skills

- Use the guidance provided to list the knowledge and skills needed for your own job.
- If you were hiring a new, inexperienced staff member to do your job, what do you think would be the best methods for building his/her skills?

Slide 9.10

The Performance Management Cycle



Slide 9.11

Objectives and Process

- **Set objectives.** Set clear objectives. Ideally they will focus on quality improvement, staff support, problem solving and capacity building.
- **Communicate objectives.** Communicate the objectives and the plan to staff. Many staff have experienced supervision as an audit in which an external supervisor arrives on the scene to check off boxes and tell them what they have done wrong. Staff need to understand the process and, ideally, to be part of the design in order to accept it and value it.

Slide 9.14

Supportive Supervision

Supportive supervision aims to improve employee performance; to strengthen relationships; to identify and resolve problems and to promote high standards, teamwork and good communication.

Key elements of supportive supervision

- Planned
- Regular
- Structured or based on clearly defined standards or criteria
- Linked to job descriptions, performance appraisals and performance plans
- Constructive
- Focused on observation, joint reviews, input from clients and communities and discussion
- Positive and motivating
- Documented

Slide 9.12

Who Supervises

- **Designated supervisors.** Staff with supervisory knowledge, technical expertise and skills.
- **Peers.** If you have CHWs in hard-to-reach areas and only a small budget for transportation, have them use checklists to supervise and support each other between visits from supervisors.
- **Community.** If your program is community based, involve community representatives in supervision.
- **Staff.** Using checklists or formats that define standards, staff can assess their own performance.
- **Teams.** Teams may work together to support each other and to supervise activities or services to ensure the team is achieving performance standards.

Slide 9.15

Supportive Supervision Plans

Effective supervision requires careful planning.

To develop your plan:

1. Define the objective of supportive supervision.
2. Define what and who will be supervised.
3. Define the roles and responsibilities of supervisors.
4. Define how often supervision will occur.
5. Describe the tools that will be used.
6. Define how the results will be linked to performance assessments, if at all.
7. Determine what training or orientation supervisors require.
8. Determine what resources are needed for supervision.

Tip: If you have workers providing services that fall under different technical areas or programs, consider an integrated supervisory approach.

Slide 9.13

Roles and Responsibilities

Supportive supervisors are responsible for

- planning and conducting supervision visits.
- reviewing and refining supervisory tools.
- demonstrating a positive and constructive approach by showing empathy; offering support; sharing knowledge; instructing in a constructive, supportive way; showing respect and assisting with problem solving.
- identifying and communicating strengths and weaknesses.
- documenting findings.
- sharing findings with supervisees and with other managers.
- encouraging supervisees to share concerns, frustrations and ideas.

Slide 9.16

Frequency of Supervision

- How often will supervision be done? (quarterly, monthly, weekly, continuously)
- Note: Frequency may vary by type of staff, by stages in program implementation or by type of service.

Slide 9.17

Resources for Supervision

To be successful, supervision requires

- staff time to conduct supervisory visits or self-supervision.
- transportation to get to the field.
- financial resources for
 - tools and for reproducing materials.
 - transportation for supervisors.
 - per diems or other resources to support supervisory visits.

Slide 9.20

Supportive Supervisory Tools

- Checklists framed around service delivery and/or management standards
- Reviews of workplans or activity plans
- Observations of service delivery or support
- Discussions to help identify issues, challenges, obstacles and needs
- Client interviews and input
- Problem solving action plans

Slide 9.18

Supervision Case Study

In your small groups, review the supervision case study and answer the following questions.

1. What did NWF's supervision plan include?
2. What worried staff about the process, and how did management address these concerns?
3. What tools did supervisors use to conduct supervision?
4. What was the supervisor's attitude toward the staff she supervised?
5. How were the results of the visit used?

Slide 9.21

Supervisory Training

- Supportive supervision is not intuitive. It may require a change of framework and perspective for your staff.
- Consider hiring a trainer with experience in supportive supervision to train staff.
- Good supportive supervisory training will include
 - clear information about the objectives.
 - details on how and how often supervision is to be conducted.
 - a review and practicum of supervisory tools.
 - supervisory meetings or visit practicums.

Slide 9.19

Staff Performance Appraisals

Definition

Staff performance appraisals are formal documents that set individual performance objectives that supervisors and employees review periodically and use to develop performance plans.

Key Elements of Performance Appraisals

- Framed around individual performance objectives
- Assess achievement of the objectives
- Assess performance against set criteria
- Self-assessment and sharing employee perspective
- Discussion
- Performance plans
- Documentation of problems or issues
- Conducted annually sometimes with a 6-month or quarterly review meeting
- Participatory and constructive
- Linked to salary increases and bonuses

Slide 9.22

Performance Appraisal Objectives

1. To assess performance for the previous period
2. To establish and agree on performance objectives for an employee's work during the upcoming year
3. To review and update the employee's job description and to clarify the supervisor's expectations and the employee's understanding of his/her responsibilities
4. To open a dialogue between the employee and the supervisor regarding the employee's capacity to be successful
5. To identify and trouble shoot problems and/or constraints faced by the employee in completing objectives and meeting performance expectations
6. To identify professional development needs or desires (training, building skills etc.)

Slide 9.23

Teams

Set up a performance appraisal development team that has clear roles and responsibilities. Decisions need to be made about how often performance appraisals will be done, what form they will take, who will be involved, what the content will be, what tools will be used and how the process will be managed. This should not be decided by one person alone.

Slide 9.26

Setting up a Performance Appraisal Process

- **Get staff acceptance.** Before establishing a process, meet with staff to discuss the need for one and the objectives and get staff inputs into how it should work and what it should include.
- **Team.** Establish a team to decide on the tools and the structure of the system.
- **Structure.** Develop a supervisory structure if you don't already have one, and document the structure if you do.
- **Tools.** Decide on the structure and content of the tools.
- **Process.** Decide how often performance will be appraised, who will be involved and who will be responsible for managing and monitoring the system.
- **Training.** Train staff and supervisors to set objectives, complete forms and conduct performance appraisal meetings.

Slide 9.24

Supervisory Structure

- In order for performance appraisals to be effective, staff and supervisors need to be very clear on who they are responsible for supervising and who is responsible for supervising them.
- In some organizations the organogram is detailed enough to serve this purpose; in others it is not. Carefully map out the supervisory structure and share it with staff to get feedback and agreement.
- Some staff work across programs. In these cases, one supervisor can be designated the key supervisor and can integrate input from other supervisors into the review. If the employee's time is really evenly divided between two departments, a joint review can be arranged.

Slide 9.27

Staff Acceptance

- When staff hear "performance appraisal" they often want to run for the hills. They think about judgment, criticism and annoying paperwork.
- For performance appraisals to be effective, staff need to understand how the organization is using them, why they are important to them and to the organization and what they can get out of them, i.e., "What's in it for me?"
- As with any change, performance appraisals work best when staff feel they have had a say.
- Take the time to include staff in the decision to implement or modify performance appraisals, and get their feedback on the process once it is underway.

Slide 9.25

Performance Appraisal Tools

There are a large number of tools available. Your organization needs to select or develop tools that match your culture, your performance appraisal objectives and your structure.

Performance appraisal tools don't need to be complex. Keep it simple.

Basic structure of performance appraisal tools:

- **Objectives and Instructions**
- **Supervisor or Peer (360) Review**
 - Review of achievement of objectives
 - Review/rating performance in key categories
 - Other comments
- **Employee Self-Assessment**
 - Review of achievement of
 - Review of performance in key categories
 - Professional development interests
- **Performance Plan**

Slide 9.28

Performance Appraisals

- Performance appraisals should be done a minimum of once a year, but some organizations like to have a meeting at the 6-month mark so that staff and supervisors can review objectives, make sure they are still relevant and reasonable and make any adjustments needed.
- Who will get performance appraisals? Will it be all staff?(recommended)
- Who will be responsible for managing the appraisals, reminding staff and supervisors when the appraisal period is approaching and monitoring results (number completed, professional development requested, problems in using the tools or applying the process)?

Slide 9.29

Personal Performance Objectives

Performance objectives may be

- **routine** describing regular or ongoing activities.
- **corrective** describing activities designed to address specific problems.
- **innovative** describing activities that will create or expand activities.
- **professional** describing activities that will enhance an individual's skills, knowledge or experience.

Slide 9.32

Performance Appraisal Training

- Don't assume that once the tools and process are in place that supervisors and staff will be able to use them.
- Staff need to be trained in setting objectives and completing self-assessments.
- Supervisors need to be trained in setting objectives, assessing performance, completing staff appraisals, conducting performance appraisal meetings, providing positive feedback and communicating problems.

Slide 9.30

Performance Objectives

Objectives should be **SMART**

- **Specific:** communicate the activity exactly and clearly. Should detail what is to be done, who will do it and how much will be done.
- **Measurable:** outcome is measurable (number of supervisory visits or information sessions, reduction of post operative infections from X to Y)
- **Appropriate:** logically relate to the employee's roles and responsibilities and key result areas
- **Realistic:** can be achieved within the time stated and with the resources available
- **Time-bound:** to be completed in a specific time period (3 months, 6 months, 1 year)

Slide 9.33

Personal Performance Objectives

- Setting agreed expectations for the employee's work and providing clear direction can increase the employee's self-motivation and improve self-evaluation.
- The objectives are developed from the employee's key responsibilities and, where possible, linked to the key result areas and to the objectives of the employee's department or program or of the organization as a whole.
- Collectively, the performance objectives of all the employees in an organization are the activities that need to be successfully achieved in order for the organization to meet its goals and objectives.

Slide 9.31

Which of the following are SMART objectives?

[Can you make the others SMART?]

1. To supervise the 10 community health workers in my region on a monthly basis using the NWF CHW supervision guidelines and checklists
2. To build the capacity of community health workers to deliver high quality VCT services
3. To manage the community VCT program by overseeing staff and program activities

Slide 9.34

Performance Appraisal Meetings

- Must be constructive to be effective
- Should focus on improvement and support
- Should take place at a scheduled time between an employee and his or her supervisor or group (360)
- Both the supervisor (or group) and the employee should have prepared for the meeting by reviewing past performance objectives, noting achievements and obstacles and completing a self-assessment form if available.

Slide 9.35

Improving Performance

- Involve the employee in coming up with strategies for resolving problems.
- Use the employee's solutions whenever possible.
- The supervisor should show his/her commitment to helping the employee improve. What will he/she do to help?
- Define clear actions and action steps to address problems or to improve performance.

Slide 9.38

Performance Appraisal Meetings

The supervisor should

- welcome the employee.
- explain how the meeting will take place.
- invite the employee to share his/her self-evaluation.
- listen.
- congratulate the employee on things done well or on things he/she is proud of.
- share his/her evaluation of the employee stressing strengths first and then talking about improvements to make.
- be clear about strengths and problems.
- explain that he/she is there to support the employee and should ask how to address any problems.
- work with the employee to develop the performance plan.

Slide 9.36

Performance Appraisal Meeting Role Play

- Providing feedback to a difficult employee
- Debriefing
 1. How did the supervisor handle this situation?
 2. What atmosphere did the supervisor create?
 3. What was challenging about this case ?
 4. If you were the supervisor, what might you have done differently?

Slide 9.39

Providing Feedback

- The purpose of feedback is to get the employee to act.
- Explain the problem in a friendly manner.
- Focus on the problem, NOT on the person.
- How you say things is important. Use a frank but supportive tone. An aggressive or angry tone will lead the employee to get upset and fail to hear your message.
- Emphasize positive, constructive feedback, but be clear on points that need improvement.
- Focus on solutions, not on defending positions.
- Ensure there is understanding even if there is not agreement.

Slide 9.37